CALIFORNIA DEPARTMENT OF HEALTH SERVICES
TOBACCO CONTROL SECTION
P.O. Box 942732, MS #555
Sacramento, CA 94234-7320
(916) 327-5425
www.dhs.ca.gov/tobacco

A PILOT PROJECT
RELEASED IN CONSULTATION WITH THE CALIFORNIA ARTS COUNCIL

REQUEST FOR APPLICATION (TCS-00-102)

For Arts Organizations such as Museums, Theaters, and Multidisciplinary Groups

<u>**Application Workshops**</u>**:**
April 18, 2000 – Los Angeles Area
April 20, 2000 – Bay Area

<u>**Letter of Intent to Apply Deadline**</u>**:**
April 28, 2000 (received)

<u>**Application Deadline**</u>**:**
June 28, 2000 (received)

DEPARTMENT OF HEALTH SERVICES
714/744 P STREET
P.O. BOX 942732
SACRAMENTO, CA 94234-7320
(916) 327-5425

March 31, 2000

TO: Prospective Applicants

SUBJECT: REQUEST FOR APPLICATION (RFA) # TCS-00-102

We welcome you to consider applying for RFA # TCS-00-102 entitled **"Tobacco Control Through the Arts,"** a special pilot project of the California Department of Health Services, Tobacco Control Section (CDHS/TCS), written in consultation with the California Arts Council.

The purpose of this RFA is to invite applications from qualified non-profit arts organizations, such as art, science, history, children's, and cultural museums; theaters; or multidisciplinary groups with an artistic focus. CDHS/TCS will fund innovative high-quality professional exhibits, productions, and supplemental educational materials or workshops that incorporate the arts as an educational medium to challenge the public's views regarding tobacco use and the companies that create deadly and addictive tobacco products.

The RFA specifies eligibility, submission requirements, and tentative timelines. Please read the RFA carefully, as this is an open competitive process and applications must comply with all instructions to be reviewed. **The deadline for receipt of all applications is Wednesday, June 28, 2000, no later than 5 p.m.**

The complete RFA and all required forms are also available online at the CDHS/TCS website: www.dhs.ca.gov/tobacco. In addition, the Policy Section of the CDHS/TCS *Competitive Grantees Administrative and Policy Manual* is available on the website to assist potential applicants in preparing their applications.

If your organization is eligible and interested in applying for funds, it would be very beneficial to attend one of the scheduled Application Workshops. Answers to questions about the RFA itself will be provided only at this workshop. Information on how to obtain technical assistance with your application and additional available resources will also be provided. Please bring a copy of the RFA with you to the workshop.

APPLICATION WORKSHOPS:

Tuesday, April 18, 2000
9 a.m. – 4 p.m.
Los Angeles Airport Marriott
5855 West Century Boulevard
Los Angeles, CA 90045
(310) 641-5700

Thursday, April 20, 2000
9 a.m. – 4 p.m.
Park Plaza Hotel, Monterey Room
150 Hegenberger Road
Oakland, CA 94621
(510) 635-5300

If anyone attending either Application Workshop requires special accommodations for the hearing impaired, please call Catherine Medina, Contract Manager, Administration and Contract Support Unit, TCS, at (916) 445-2552 by April 12, 2000.

Sincerely,

Dileep G. Bal, M.D., Chief
Cancer Control Branch

cc: Local Lead Agencies
Regional Community Linkage Projects
Ethnic Networks
Competitive Grantees
California Arts Council

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I. GENERAL INFORMATION

A. Purpose

The California Department of Health Services, Tobacco Control Section (CDHS/TCS), is inviting applications from qualified non-profit arts organizations such as museums, theaters, or multidisciplinary groups to create high quality professional exhibits, productions, and supplemental educational materials or workshops that incorporate the arts as an educational medium to challenge the public's views regarding tobacco use and the companies that create deadly and addictive tobacco products. These pilot projects would be one part of a comprehensive, multifaceted program that has the goal of reducing tobacco use in California by promoting a social norm that tobacco use is not acceptable.

B. Applicant Eligibility

This application process is open to all California public or non-profit arts organizations (including art, science, history, children's and cultural museums), municipal or county arts agencies, and/or consortiums consisting of these types of groups. The applicant agency must be able to demonstrate consistent arts or science and education programming in California for at least five years prior to the time of application and have had at least $250,000 in incoming funds for the last completed fiscal year (July 1, 1998– June 30, 1999). A complete list of requirements is described in Section V, Eligibility Requirements.

C. Contract Term and Scope of Funding

1. The anticipated contract term is January 1, 2001 through December 31, 2002.
2. Three to five projects are expected to be awarded, averaging between $400,000 to $650,000 for the two-year period depending upon the breadth, quantity, and quality of the types of activities proposed.
3. Funding is contingent upon the availability of anticipated additional fiscal year (FY) 2000-2001 and subsequent years funding. The actual funding level for each FY will be known when the state budget is signed by the Governor. There is no guarantee that funding will be available. CDHS/TCS will have the option of renewing the grant for an additional three years if funds are available and the grantee has performed to the satisfaction of CDHS/TCS.
4. Expenses associated with preparing and submitting an application are solely the responsibility of the applicant agency and will not be reimbursed by CDHS/TCS.

D. Tentative Timeline

March 31, 2000	Release of RFA
April 18, 2000	Application Workshop – Los Angeles
April 20, 2000	Application Workshop – Oakland
April 28, 2000	Letters of Intent due
June 28, 2000	Applications due at TCS by 5 p.m.

July 20-21, 2000	Proposal review
July 26 – August 4, 2000	Oral interviews/site visits
August 21, 2000	Contract award decisions announced
August 28, 2000	Appeals due by 5 p.m.
September 7, 2000	Appeal Hearings
January 1, 2001	Grant period begins for contract awardees
December 31, 2002	Grant period ends

II. BACKGROUND INFORMATION

A. Tobacco Control in California

In 1988, the citizens of California took an unprecedented step toward combating the addiction, death, and disease caused by tobacco. By an overwhelming margin, voters approved Proposition 99 — the Tobacco Tax Initiative — which added a 25-cent tax to tobacco products and earmarked a portion of that money to go toward health education. They wanted to counter and prevent the overt and covert stranglehold of tobacco, its distribution, sale, marketing, promotion, and influence upon all facets of California life and society. This revolutionary initiative forever changed the face and direction of the tobacco control movement in the nation and worldwide.

Many successes have been attributed to California's world-leading Tobacco Control Program over the past decade. A few of these highlights are:

- Cigarette consumption has declined by over 45 percent, from 112.6 packs per capita in 1988-89 to 61.3 packs per capita in 1998-99.
- Virtually all enclosed indoor workplaces, including restaurants and bars, are now smoke-free.
- A complete voluntary ban on smoking is upheld in 73 percent of homes with children. Fifty percent of these homes include smokers with children.
- California is the only state in the nation to have smoke-free bars.

While the Tobacco Control Program in California has accomplished many things in its first 10 years, much remains to be done, and much could be undone if current efforts and new approaches are not maintained and put forward.

For example, we are just beginning to fully understand the impact that tobacco has had upon the global environment. Tobacco production is linked with deforestation, pesticide use, land use, environmental degradation, fires, litter, and pollution. Modern cigarette manufacturing uses wood to cure tobacco as well as in rolling and packaging cigarettes. The deforestation caused by harvesting wood for these purposes damages the land, and contributes to increased flooding, decreased food output, and can affect the local climate. Because tobacco depletes soil nutrients at a heavy rate, it requires regular inputs of chemical fertilizers. In addition, herbicides and pesticides are used that seep into the soil and pollute waterways and ecological systems, as well as poisoning livestock and food crops. Land that might otherwise be devoted to growing food in developing countries is used to grow tobacco, a more profitable crop, for export. Finally, closer to home, cigarette butts account for almost half of the items collected in the annual California statewide cleanup. These are washed into rivers, lakes, and into the ocean from city streets, through storm drains. Seabirds, animals and fish eat them by mistake, have no way of digesting the filters, and can die.

The tobacco industry operates on a global level, with respect to growing, producing, and advertising their products. Some restrictions have been put in place, with varying degrees of success, at the local, state, and country levels.

The Master Settlement Agreement (MSA), signed in 1998 between the Attorneys General of 46 states (including California) and the tobacco companies, imposes some advertising restrictions on the tobacco industry. There are also some restrictions imposed at the local level. As tobacco advertising is restricted, the industry finds new marketing techniques.

The tobacco industry spends $1.5 million every day in California promoting its products. Besides their slick advertising and promotional campaigns, tobacco companies also spend money to place tobacco products and advertisements in retail outlets as well as in entertainment products such as movies, television shows, and music videos, and by promoting night club “cigar nights” to glamorize tobacco use. Over the past several years, the tobacco industry has become a major sponsor and contributor to large public events such as rodeos, sports car races and arts and cultural events. Through major contributions to political campaigns and lobbying, the industry exerts influence on elected officials and the legislative process at the state, region, county and city levels. All this is done to create what the industry calls a “tobacco friendly” social environment.

With the MSA and various public relations and advertising efforts, the tobacco industry is attempting to convince the nation and Californians that they have turned over a new leaf and have become the model of corporate responsibility. In reality, the industry has simply become more creative in finding avenues for advertising and inroads into community acceptance.

For the first time since the television and radio advertising ban was put in place over 30 years ago, tobacco companies now have their names back on television. Philip Morris is spending $100 million on a television media campaign that showcases donations to various worthy “causes,” such as disaster relief, domestic violence, and hunger, hiding behind these causes and their subsidiary companies, including Kraft Foods and Miller Brewing Company. Philip Morris is also spending millions on television advertising, targeting youth with a campaign that portrays some young people choosing not to smoke, but not because it might eventually affect their health or even kill them. Brown and Williamson also has a television campaign telling teens that they are not old enough to smoke. Scientific studies have shown these to be highly ineffectual strategies for convincing kids not to smoke.

In a similar fashion, Brown & Williamson funded the United States (U.S.) Jaycees “JAYS” (Jaycees Against Youth Smoking) program in the mid-1990s, to provide a curriculum for sixth-graders to help them build “peer pressure resistance skills.”

The National 4-H Council and Philip Morris partnered in a National Youth Smoking Prevention Program launched in October 1999. The California 4-H Statewide Advisory Board noted:

> “What is troubling so many in our organization is the underlying belief that there are simply no areas in which the tobacco industry and 4-H have a common ground. They are trying to sell cigarettes, and 4-H is committed

> to children's health. How can there be any basis for a partnership when the mission of Philip Morris and the mission of 4-H are at direct odds?"

R.J. Reynolds recently began an "artists' packs" program, a campaign reminiscent of the famous Andy Warhol-inspired Absolut vodka advertisements. Well-known contemporary artist Damien Hirst created a cigarette package design for Camel cigarettes. While the sale of the packs has so far been restricted to three fashionable club locations in New York and several bars in Chicago, people are willing to pay $8 a pack for the designs. Additionally, German tourists have discovered the art world bargain and are said to be snapping up Hirst's Camels by the carton.

Another goal of the tobacco industry is to buy the respect of the public. Why have tobacco companies given generous donations to, among others: the San Francisco Ballet, the San Diego Museum of Art, the United Negro College Fund, New York University, the Metropolitan Museum of New York, the Corcoran Gallery of Art in Washington, D.C., Alvin Ailey Repertory Ensemble dance troupe, LaScala Opera Company in Italy or provided research funding to Harvard University, Yale University, the University of California at San Diego, the University of California at San Francisco, and the University of Colorado? Financial support is the tobacco industry's attempt to legitimize their products. Philip Morris executive George Knox states:

> "I never use the word corporate philanthropy. That implies that you do something without regard to yourself. I don't see any corporation giving money without a reason."

The tobacco industry would love to be seen in the same light as major foundations that underwrite critically needed programs and services all around our country. However, tobacco companies are not beneficent foundations. The money they so generously disperse to organizations was acquired by producing a product that harms people.

Sponsorship of community and art events helps tobacco companies present a "good neighbor" image, despite selling a product that kills 400,000 Americans annually. Whether the sponsorship is in the form of a gift to a local museum, a grant to a non-profit agency, or funding for a popular sports or community event, it is actually a marketing tool intended to promote their company and products. Tobacco industry funding of sports, cultural community events and charities is so pervasive, and its effects so subliminal, that most people do not recognize it as advertising. Young people are particularly vulnerable and susceptible to these types of promotional tactics. Tobacco sponsorship of community events and civic organizations is an insidious way for the tobacco industry to influence public opinion about its products. It connects these deadly products to activities people enjoy and organizations they admire. The close association of tobacco with significant events and rituals of many ethnic communities and the tobacco industry's long history of providing economic support to some ethnic groups may undermine tobacco prevention and control efforts. Tobacco companies strategically target specific community events, such as music and theater events, museum exhibits, and community arts festivals to create the perception that tobacco, and the money provided by the tobacco industry, is a vital and even necessary part of community life.

Tobacco companies may view contributions to organizations as a kind of legal "hush money." Organizations that receive these contributions come to depend upon them and may find it hard to speak out against harmful practices of the tobacco industry – even those that affect their own members. As an example, when the New York City Council was considering a citywide ban on smoking in public places, Philip Morris vowed to move their corporate headquarters if the ban passed. This was an idle threat, since the ban passed and Philip Morris is still headquartered in New York City. Other threats by Philip Morris, however, were subtler, they "encouraged" arts and cultural groups that they fund to support their position, and many did. As the New York Times reported, "In the arts world, offending Philip Morris is the equivalent of crossing the National Endowment for the Arts."

While many factors influencing tobacco use in California are new, including the tobacco industry's attempt to infiltrate the arts community and influence the public through its own "good deeds," many equally important challenges to the tobacco control movement are expected to continue. Data collected in California demonstrate some of these challenges:

- The smoking prevalence rate for 18-24 year olds increased from 16.7 percent in 1995 to 22.0 percent in 1998.
- Those with less education and Hispanic and Asian/Pacific Islanders (vs. other ethnic groups), are more likely to be exposed to secondhand smoke at work.
- In 1998, 90 percent of adults, 86 percent of 8^{th} –graders, and 94 percent of 10^{th} –graders reported seeing tobacco advertising, "sometimes" or "a lot" in at least one type of media venue.
- Tobacco advertising has increased in many types of California newspapers, including weekly entertainment (alternative) newspapers. These are often found in coffeehouses and on college campuses.
- National magazines with high California readership had relatively high levels of tobacco advertising (2.3 ads per issue).
- African American newspapers contain a significantly higher number of tobacco advertisements, compared to general newspaper publications.
- The majority of tobacco ads in African American and Hispanic newspapers were corporate promotional messages from three sources: Philip Morris (45 percent), Brown and Williamson (16 percent) and R.J. Reynolds (9 percent). Common themes included announcements that: the corporation checks the identification of minors trying to buy cigarettes; support for the arts, the Black Press, and scholarships; and explanations about the Tobacco Settlement.
- Five of six magazines with at least 10 percent youth readership had higher than average levels of tobacco advertising per issue (Field and Stream, 6.0 ads per issue; Spin, 5.0 ads per issue; Rolling Stone, 5.0 ads per issue; Sports Illustrated, 3.4 ads per issue; and Ebony, 2.5 ads per issue).

- In 1998, there were 267 tobacco-sponsored public events identified in California. Most of these events were part of a series that traveled nationwide with the sponsorship organized at the national level.

- In 18 California counties surveyed in 1998, 10 percent of large events had some type of tobacco marketing. Eighty-six percent of rodeos had tobacco industry sponsorship.

National statistics further demonstrate the problem:

- Cigarette smoking, the leading cause of preventable mortality in the U.S., causes approximately 430,000 deaths annually in this country.

- An estimated 140,000 women above the age of 35 die each year from tobacco-related diseases. Yet in the Fall of 1999, Philip Morris launched a new $40 million advertising campaign that targets women, with a focus on minority women.

- More than 10 million African Americans, American Indians and Alaska Natives, Asian Americans and Pacific Islanders, and Hispanics smoke cigarettes. Without intervention, this number may swell in the coming decade.

- Nearly 40 percent of American Indian and Alaska Native adults smoke cigarettes, compared with 25 percent of adults in the overall U.S. population.

- The smoking prevalence rate for adult gay men is estimated to be between 35-50 percent. The rate for lesbians is estimated at 25-40 percent. This is compared to 27 percent of men and 22.5 percent of women in the overall population.

As can be seen from just the brief information noted above, the California Tobacco Control Program has formidable challenges to meet in the coming years. These challenges call for creative ideas and actions, and must take into account the entire picture of education and prevention efforts to reduce tobacco use.

B. **California Department of Health Services, Tobacco Control Section (CDHS/TCS)**

It is the role of CDHS/TCS to promote and protect the health of Californians. Smoking is the leading cause of preventable death and disability. It kills over 42,000 California smokers and 5,000 nonsmokers every year, with many hundreds of thousands more suffering from tobacco-related diseases and the premature loss of loved ones. In 1993, California's health care costs to treat smokers were the highest among the 50 states, reaching about $9 billion, including about $1.7 billion in Medicaid payments.

CDHS/TCS works to change or "denormalize" social perception and acceptability (or "normality") of tobacco use in California communities in order to accomplish a significant reduction in tobacco use. In essence, this social norm change strategy means transforming the perception of tobacco use as normal or even glamorous into a realistic perception of it as a dangerous, addictive, and unacceptable drain on society. Through awareness raising, education, policy advocacy, and community mobilization, the program awakens the community out of its indifference to or tolerance of exposure to secondhand smoke, availability of tobacco products to minors, and the saturation of our community environments with youth-, gender-, and ethnic-targeted tobacco advertising and tobacco industry sponsorship of cultural, ethnic, sporting, and community events. ***Specific goals for facilitating social norm change*** include the following:

- To make the public — nonsmokers and smokers alike — aware of the health, social, and economic consequences of tobacco use, secondhand smoke, and tobacco product marketing tactics used to influence people, especially youth.
- To prevent the initiation of tobacco use among youth.
- To encourage tobacco users to quit, help them do so, and help them stay free from tobacco, permanently.

CDHS/TCS uses cutting-edge public health approaches and strategies to help foster changes in social norms. A fundamental approach used by CDHS/TCS is to support environmental changes that foster individual behavior change. Advocacy to change tobacco-related policies is a critical strategy in this approach. Public health research strongly supports policy change as a key factor in promoting public health goals, since policies are both immediate and long-term, and help to shape public perceptions. Changes in a community's policies are dependent on public awareness, support, and action. CDHS/TCS recognizes that increasing community involvement in tobacco education and prevention program efforts will foster reductions in tobacco use.

C. Components of the California Tobacco Control Program

The Tobacco Control Through the Arts, a pilot project, is only one component in a multi-pronged, comprehensive effort, and fits into the overall structure of California's Tobacco Control Program as another means of reaching people in an innovative way. Proposition 99 funds are allocated to local health departments, various competitively funded community agencies, a statewide media campaign, and comprehensive evaluation efforts, all of which are administered by CDHS/TCS. Local health departments and community agencies may develop and place paid advertising and public service announcements. Health education funds are also allocated to the California Department of Education to provide tobacco education in the schools.

Core components of the overall CDHS/TCS Tobacco Control Program are briefly described below.

<u>Community Programs</u>

Local Health Departments. All of California's 58 county and 3 city health departments are funded as "Local Lead Agencies" (LLAs). Considered the lead tobacco control agency at the local level, each LLA is funded to implement comprehensive programs in their area. LLAs foster and involve community coalitions in developing strategic community actions to combat tobacco use in their jurisdiction and conduct a wide range of education, information, policy, prevention, and cessation activities.

Community-Based Projects. It is anticipated that approximately 100 competitive grants to local non-profit agencies (primarily housed in health-based groups) will be funded and in effect when this contract begins. The majority of the community-based projects are specially focused to reach local ethnic populations and/or youth. These projects use innovative strategies to reach their respective target populations.

<u>Regional and Statewide Programs</u>

Regional Projects. CDHS/TCS also funds 11 *Regional Community Linkage Projects* throughout California. These regional projects coordinate resources, training, media advocacy, and policy activities with the LLAs, competitive grantees, and many volunteers in their regional areas.

Statewide Grants. These are grants funded to create projects with a broad statewide impact that provide assistance to local programs in various specialties. These projects include: education and advocacy work around smoke-free bars, facilitation of policy adoption to not accept tobacco industry sponsorship of local events; education outreach to key opinion leaders; outreach to organized labor; encouraging divestment of tobacco company stocks in public funds; monitoring tobacco industry activities through tobacco documents; legal technical assistance; and local marketing and public relations technical assistance. Also funded with these statewide projects is education and outreach to entertainment industry decision-makers. This project in particular attempts to work within the entertainment industry to promote social change with respect to tobacco smoking in the movies and on television.

Four *Ethnic Networks* are funded to coordinate efforts, conduct advocacy campaigns, and provide training, among the numerous projects that target these specific ethnic populations: African American, Asian/Pacific Islander, Hispanic/Latino, and American Indian. The ethnic networks help provide guidance on directions and activities that specifically counter tobacco use and addiction in the various ethnic populations.

Smokers' Helpline. CDHS/TCS currently funds the California Smokers' Helpline, a free statewide telephone counseling service funded to help people who are ready to quit using tobacco. Trained counselors provide individual assistance and materials in English, Spanish, Korean, Vietnamese, Cantonese, and Mandarin, as well as services tailored for the deaf, youth, and chew/dip cessation. It may be reached in English at 1-800-7-NO BUTTS.

<u>Program Support</u>

Media Campaign. In conjunction with the elements listed above, the media campaign utilizes hard-hitting paid advertising and public service announcements (television, radio, billboards, transit, and print) with thought provoking messages to effectively communicate the dangers of tobacco use, secondhand smoke, and the tobacco industry's manipulative marketing ploys throughout California's communities. The media campaign continues to target both adults and youth, with a focus on countering pro-tobacco influences, reducing exposure to secondhand smoke, reducing the appeal and availability of tobacco to youth, and supporting the Smokers' Helpline, which provides one-on-one counseling in multiple languages for smokers who want to quit. To reach California's diverse communities and cultures, the campaign supplements the general market advertising with in-language and culturally relevant advertising directed toward Hispanic/Latinos, Asians and Pacific Islanders, American Indians, and African Americans.

Data Analysis and Evaluation. This component of the tobacco education effort tracks adult and youth tobacco use prevalence by conducting year-round and triennial telephone surveys. These surveys provide information about public opinion and knowledge related to tobacco use, which enables the other tobacco control components to more appropriately target their education and media outreach. Another annual survey monitors progress toward eliminating sales of tobacco to youth under the age of 18. Additionally, both in-house and independent evaluations of all tobacco control components are conducted to monitor progress toward reaching program goals and objectives and to determine which strategies are most effective in reducing tobacco use.

III. FUNDING OBJECTIVES

A. Purpose

CDHS/TCS is inviting applications from qualified non-profit arts organizations such as museums, theaters, or multidisciplinary groups to create high quality professional theater performances or productions, exhibits, public art displays, and ancillary or supplemental educational materials, other types of innovative products, and workshops to: 1) increase public awareness about pro-tobacco industry influences; 2) change public acceptance of tobacco use and tobacco marketing practices (including the practice of marketing to specific populations); 3) increase the effectiveness of efforts by local health groups to counter pro-tobacco influences in their communities; and 4) counter the infiltration of pro-tobacco influences in the arts community.

Each pilot project will incorporate the arts as an educational medium to challenge the public's views in an innovative way regarding tobacco use and the companies that create deadly and addictive tobacco products. Arts organizations are encouraged to submit applications that use unique approaches to promoting public tobacco awareness. CDHS/TCS is particularly interested in receiving applications that specifically address one or more of the following topic areas:

1. Exposing tobacco advertising and marketing practices (may reference specific special populations such as ethnic groups, the gay/lesbian community, or women),
2. Chemical and biological characteristics of tobacco;
3. Physiological effects of nicotine habituation and addiction;
4. Exposing historical, financial, and social aspects of tobacco use or the tobacco industry; or
5. Exposing environmental issues associated with tobacco production and use

California arts organizations provide professional employment and volunteer work for over 500,000 individuals. Visits to California museums alone reached 25.6 million people in FY 1997-98. Through this pilot project, CDHS/TCS is making efforts to reach out to the employees, visitors, and audiences of arts organizations, including museums, to challenge the public's perceptions and to break through the misinformation constantly produced and promoted by the tobacco industry.

B. Who/What Will Not Be Funded

- Any agency, with the exception of universities and colleges, that receives funding from, or has an affiliation or contractual relationship with a tobacco company, any of its subsidiaries or parent company is not eligible for funding under this RFA;
- For-profit organizations;

- Exhibits of artwork and performances developed and/or performed by children or high school students. However, ancillary workshops, activities and lectures may involve children and high school students;
- Organizational or infrastructure support;
- Programs not accessible to the public;
- Art therapy;
- Avocational activities;
- Projects with religious or sectarian purposes;
- Elementary or secondary schools and school districts;
- Organizations or activities that are part of the curricula base of schools, colleges, or universities;
- Indirect costs of schools, community colleges, colleges, or universities;
- Trust or endowment funds;
- Purchase of vehicles, land, buildings, or construction (capital outlay or expenditures);
- Exhibits or performances traveling outside of California;
- Hospitality or food costs; and
- Expenses incurred before the starting or after the ending date of the contract.

IV. APPLICANT CAPABILITY AND FUNDING PRIORITIES

A. **Applicant Capability**

Funding preference will be given to applicants who demonstrate the following qualifications:

- Previous grant performance with a state, county, or federal agency and demonstration of effectiveness and capacity to implement projects similar to those solicited by this RFA.
- Capacity to begin project activities for the public within 3-4 months and to deliver products and services.
- Involvement of tobacco control experts to verify that key messages are factually correct.
- Administrative and fiscal ability to manage state government grant funds, to enter into subcontracts, and to comply with all CDHS/TCS contract terms.
- Availability of adequate equipment (including computers) and software to at least partially support staff and program needs.
- Overall fiscal health as evidenced by surplus/deficit position and a variety of funding sources:
    - Strong fiscal controls and budgeting process resulting in accountability for the expenditure of resources
    - Quality and feasibility of a marketing plan to promote project activities to the public

B. **Application Quality Criteria**

Funding preference will be given to applications that address and indicate excellent quality in the following areas:

1. Artistic Quality and Achievement
    - Overall artistic achievement and quality, including the following: how well programs and services address the applicant's mission, the artistic qualifications of individuals involved in the delivery of programs and services, production or exhibition values, including importance to the field, innovation, and exposing audiences to the best of the art form
    - Service to the community, including contribution to the broad community's understanding of and participation in the arts
2. Value of the Project for Which Funding is Requested
    - Artistic excellence and the innovative nature of the project

- Impact of the project with respect to tobacco control on the arts discipline, on artists, audiences, and/or the applicant organization

3. Relationship to the Community

   - Efforts to aggressively promote programs and services to all sectors of the public
   - Ability to develop programs and services that meet the needs of the community
   - Commitment to adequate compensation for artists, given the organization's resources, at comparable rates to others employed in the same field

C. **Program Priorities**

Funding preference will be given to applications that satisfy the following criteria:

1. Demonstrate relevance to current tobacco control issues by:

   - Clearly stating the application's overarching goals
   - Focusing overall on important tobacco control issues related to reducing exposure to secondhand smoke, countering pro tobacco influences or decreasing the availability of tobacco, and
   - Stating a strong rationale that explains why the messages, strategies, and approaches would be successful in achieving the overarching goals of the exhibit or performance.

2. Address one or more of the following topics:

   - Exposing tobacco advertising and marketing practices (may reference specific special populations such as ethnic groups, the gay/lesbian community, or women)
   - Chemical and biological characteristics of tobacco
   - Physiological effects of nicotine habituation and addiction
   - Exposing historical, financial, and social aspects of tobacco use or the tobacco industry
   - Exposing environmental issues associated with tobacco production and use

3. Incorporate the following essential elements as much as possible into the application:

   - Involvement and encouragement of social activism, for example through a letter writing or postcard campaign
   - Outreach to diverse groups and/or opinion leaders

- Presentation of information in a way that captivates attention, sparks discussion, and challenges misconceptions

- Interaction with audiences and participants

4. Extend the tobacco control message(s) of the primary exhibit or performance(s) through one or more of the following:

- Supplemental production or exhibit activities such as community lectures or workshops for students

- Development of print material

- Collateral activities to persuade local venues (e.g., theaters, museums, galleries, parks) to develop policies that prohibit tobacco industry sponsorship

- Public relations activities that extend the message, e.g., press conferences, talk shows

5. Submit a Scope of Work and Budget consistent with the policies and procedures found in the Policy Section of the Competitive Grantee Administrative and Policy Manual. The Policy Section is posted on the CDHS/TCS website: www.dhs.ca.gov/tobacco. When developing the Scope of Work and Budget, please review the Policy Section of the aforementioned manual and pay particular attention to those policies addressing lobbying restrictions, incentives, promotional items, and sponsorship.

6. Present a Scope of Work that reflects and incorporates all of the following:

- States clear and measurable process and/or outcome objectives. Keep in mind, if someone outside your agency reads your Scope of Work, they should be able to understand what you propose to achieve. Each objective should be concise and yet capture:

  1) who you are targeting;
  2) what you are proposing to accomplish;
  3) how you will accomplish it and how much will be done;
  4) when and where your activities will take place; and
  5) when activities will be completed.

- Describes major project activities including quantification and timelines

- Designates clearly who is responsible for respective activities

- Includes appropriate process or "tracking" measures for each major activity

D. Examples of Possible Project Activities and Focus

Funding preference will be given to applications that establish objectives that strive to change the community's perceptions of tobacco. The following is a list of possible activities or projects. These are only suggestions. CDHS/TCS is very receptive to the many other creative and innovative project ideas that exist in California.

- Professional theater performances augmented with an arts in education program that travel to various locations within California, reaching diverse audiences.

- A visual arts exhibition in a gallery or museum challenging tobacco's imagery in American society along with a series of lectures on the history of tobacco and its images in art.

- A museum exhibit on the history of tobacco use and the exploitation of Native American cultures by commercial tobacco.

- A series of site-specific temporary public art works displayed throughout a community, featuring local artists, on the theme of tobacco addiction or tobacco company manipulation.

- A visual exhibit featuring photographs and information on African American artists who died prematurely from tobacco use (e.g., "Smoking Made Them History").

- Development of policies at local venues (e.g., theaters, museums, galleries, parks, public art display sites, etc.) that prohibit tobacco industry sponsorship of events on their property.

- Interactive displays at science museums, some of which travel to other museums or sites within California.

- Street theater type performances in establishments that break the smoke-free bar law in order to draw attention to the problem and educate the public.

- Satirical performances – focus might include: 1) targeting movies that depict smoking in an unrealistic way, with performances taking place outside of well-known theaters before shows; or 2) performances that center around tobacco industry manipulation of the public.

The following are some examples from other states and previously funded California projects. These are only intended as sample ideas. They are not endorsements.

Florida: Artful Truth – Healthy Propaganda Arts Project

Designed to show how art, design and advertising, particularly tobacco advertising, convey persuasive messages that can influence emotions and actions. It was created by The Wolfsonian-Florida International University as part of the Florida Tobacco Pilot Program. More information may be found on their website: www.artfultruth.com.

Arizona: Tobacco Awareness Exhibits Program

A collaboration of the Arizona Health Services-Tobacco Education and Prevention Program, The Flandrau Science Center, the Tucson Children's Museum, and the Arizona Science Center. The goal of the collaboration was to create a series of interactive exhibits and educational materials to enlighten youth about the effects of tobacco use. Exhibits included interactive demonstrations regarding cardiovascular, vocal, and physical appearance effects of smoking, microscopic views of tobacco products and lung tissue, and a computer guided game.

Minnesota: The Human Body Gallery

The Human Body Gallery was produced by the Science Museum of Minnesota. It is a cluster of exhibits that focuses on the biology and psychology of smoking rather than a "Don't smoke" message. One panel addresses addiction and nicotine, one panel addresses heart attacks and smoking; and one panel addresses lung cancer and smoking. A fourth panel is poster-like and illustrates the chemicals found in cigarette smoke. The overall concept is to allow young people who are making choices with regard to tobacco use to understand the consequences. It is a traveling exhibit.

California: Fantasy Theater

Funded in 1990, the Fantasy Theatre for Children, Inc. received a grant to produce and perform a tobacco use prevention play. Young people were directly involved in the development of the original play. Their input was received through a series of workshops with 7-14 year-old schoolchildren at over 60 sites. Teams of young people submitted plays for consideration in a playwriting contest. Fantasy Theatre staff reviewed the plays and selected seven for further development into an overall script. This project was implemented with professional actors, stage manager, directors and designers, as well as other professional positions. The finished product, "Don't Start," was performed at 92 locations in 4 counties. The play was performed for over 41,000 schoolchildren and families.

California: Dell'Arte Tobacco Education Shows

This project created and performed an original theatre piece for school-aged youth, designed to expose them to the intent and tactics of the tobacco industry. The piece was performed to 23,000 students in 90 schools each year. In addition, a free performance was offered to the public health community in five counties.

E. **Project Evaluation**

1. Evaluation Summary

   Evaluation is critical to the Tobacco Control Program. It allows us to document the program's numerous successes, and to share them with colleagues in California, the U.S., and throughout the world. It also helps us to acknowledge areas where we need to modify and improve our program. Evaluation data is used to validate the statewide Tobacco Control Program, to demonstrate to policy makers its positive effect, and to know which programs to replicate locally as well as in other states and countries.

   As a pilot project, it is particularly important that the arts projects funded under this RFA make evaluation a high priority in order for CDHS/TCS to determine the value of continuing to fund such projects. It is important to quantitatively and qualitatively document all of the following while developing and implementing these projects:

- Successes
- Unanticipated barriers and challenges to project implementation
- Collaborations with other organizations, as well as new organizational relationships
- Unanticipated outcomes (e.g., negative/positive media coverage, pressure from tobacco industry influences, public records requests, etc.)
- Message development processes
- The number of people who view and/or participate in project activities
- Audience demographics
- Whether the project reached the intended audience
- Audience reaction to and satisfaction with the project activities
- Changes in beliefs, feelings, attitudes, perceptions, or emotional response as a result of exhibits or performances, particularly on a community level
- Key opinion leader (e.g., art critics, art directors, curators, museum officials) changes in the above
- Media coverage(e.g., art reviews in the media)
- A final report or handbook that summarizes the project, materials, outcomes, and lessons, that may be utilized by other organizations attempting similarly focused interventions in the future

CDHS/TCS is very interested in what the impact and influence of the funded projects will be over time. In order to determine the impact of the funded programs on the arts world and/or on the communities where projects are exhibited or performed, an evaluator will be hired by CDHS/TCS to work with all projects funded under this RFA, and will follow standard CDHS/TCS evaluation guidelines. **Funded projects will be required to work closely with this person.** Guidelines for collecting outcome evaluation data will be set by the evaluator. In addition, the Scope of Work must include tracking or process evaluation measures consistent with the requirements described below.

2. Applicant Responsibility

Each applicant needs to collect appropriate qualitative and quantitative data for purposes of tracking the progress of its project from beginning to end, as well as documenting project activities. These process evaluation or “tracking” measures greatly benefit grantees by gauging implementation of their projects. Examples of process evaluation or tracking measures may include: conducting focus groups for educational materials development, documenting the number of performances, and documenting the audience reached with a performance or production, as well as those items in Section 1, Evaluation Summary, listed above. Please note that the data collected will need to be available to the CDHS/TCS evaluator. If required by the evaluator, additional data may also need to be collected.

To ensure that enough resources are dedicated to collecting data and documentation, each applicant is required to:

a) allocate a minimum of 2.5 percent of the total budget amount toward evaluation of its project; and,

b) designate one staff person as the lead on evaluation activities. At a minimum, <u>5 percent of one full time equivalent staff person's time is to be dedicated toward overseeing evaluation activities</u> and coordinating evaluation activities with CDHS/TCS and any evaluation consultant or subcontractor who may be hired. This evaluation item must be designated in the Budget.

V. ELIGIBILITY REQUIREMENTS

All applications will be reviewed for compliance with the requirements outlined in this section. Failure to meet any of these requirements will disqualify the applicant agency.

1. California public or private non-profit organizations are eligible to apply for these funds. In addition, municipal or county arts agencies designated by local government to serve community cultural needs may also apply. For applicants claiming private non-profit status, either certification from the State of California, Office of Secretary of State or a letter from the Department of the Treasury, Internal Revenue Service classifying the applicant agency as a private non-profit **must be included** with the submission of the application. Samples of both the certification and letter are provided in Appendices A and B.

2. State agencies, other than state universities and colleges or state museums and parks, are not eligible for these funds.

3. Organizations applying for funds must demonstrate consistent arts, science, or cultural education programming in California for at least five years prior to the time of application.

4. Documentation of incoming funds of at least $250,000 for the last completed FY (July 1, 1998 – June 30, 1999) is required at the time of application (Attachment 9).

5. Any agency, with the exception of universities and colleges, that receives funding from, or has an affiliation or contractual relationship with a tobacco company, any of its subsidiaries or parent company, before or during the time period of the grant, is not eligible for funding under this RFA and is required to certify non-acceptance of the above on Attachment 8. See Appendix C for a partial list of tobacco company subsidiaries.

   With regard to universities and colleges, any Principal Investigator who currently, or within the last five years from the date of this RFA, receives funding from or has an affiliation or contractual relationship with a tobacco company before or during the time period of the grant, any of its subsidiaries, or parent company, is not eligible for funding under this RFA. Further, the Principal Investigator is required to certify non-acceptance of the above and during the time period of the grant, on Attachment 8. See Appendix C for a partial list of tobacco company subsidiaries.

6. Consortiums or collaborative proposals among museums, local arts agencies, community-based organizations, and/or non-profit agencies may apply under the following conditions:

   a. The organizations have similar missions;

   b. One organization is designated to take the lead on the application implementation; and

   c. One organization is designated as the fiscal agent.

VI. SUBMITTING AN APPLICATION

A. Letter of Intent

For the purpose of planning the RFA review process, all prospective applicants must submit a letter notifying CDHS/TCS of the intent to submit an application. The letter is not binding, and those submitting a letter may elect not to submit an application. CDHS/TCS at its discretion may accept applications without a letter of intent. **One (1) signed original letter of intent must be received by 5 p.m., April 28, 2000.** The letter of intent must be submitted on the applicant's letterhead, and signed by an officer of the board or their agent. The name of the RFA, *"Tobacco Control Through the Arts, RFA #TCS-00-102"*, the estimated amount requested, and the arts discipline (e.g., literature, media arts, theater, visual arts, museum exhibits, etc.) to be utilized in the application are to be clearly indicated. The letter must also include the name, title, address, and telephone number of the person to be the applicant's point of contact through the RFA process (this information will be passed along to a technical assistance provider for the application process). <u>E-mail documents will not be accepted.</u> Mail or fax the letter of intent to:

Tobacco Control Section
ATTN: Catherine Medina
California Department of Health Services
P.O. Box 942732, M.S. 555
Sacramento, CA 94234-7320
FAX # (916) 327-5424

Clearly indicate "*Tobacco Control Through the Arts, RFA #TCS-00-102"* on the outside of the mailing envelope or FAX transmittal sheet.

B. RFA Application Workshop

Two RFA Application Workshops have been scheduled and will be conducted jointly by CDHS/TCS and the California Arts Council for the purpose of answering questions directly related to the RFA requirements and specifics regarding the provision of technical assistance for application preparation.

<u>Los Angeles Area</u>	<u>Bay Area</u>
Tuesday, April 18, 2000	Thursday, April 20, 2000
9 a.m. – 4 p.m.	9 a.m. – 4 p.m.
Los Angeles Airport Marriott	Park Plaza Hotel, Monterey Room
5855 West Century Boulevard	150 Hegenberger Road
Los Angeles, CA 90045	Oakland, CA 94621
(310) 641-5700	(510) 635-5300

C. Application Submission and Deadline

NOTE: All applicants agree in submitting an application that CDHS/TCS is authorized to verify any and all claimed information and to verify any references named in the application. All applications received by CDHS/TCS are subject to the provisions of the "California Public Records Act" (Government Code Section 6250 et seq.) and are not considered confidential after completion of the selection, appeal and negotiation process.

Submit one signed original application (clearly marked "original"), six (6) copies of the application, and six (6) additional copies of the narrative. Clearly indicate *"Tobacco Control Through the Arts," RFA #TCS-00-102"* on the outside of the mailing envelope. **Applications must be received by 5 p.m., Wednesday, June 28, 2000, at the California Department of Health Services, Tobacco Control Section.** Postmarks will not be accepted as proof of timely delivery. FAX and electronically transmitted applications will not be accepted. Late, incomplete, or non-compliant applications will be rejected. Applicants are cautioned to allow extra time (two to five additional working days) for CDHS/TCS internal handling of mail and package deliveries. Completed applications should be mailed or delivered to CDHS/TCS:

Regular mail:

Diane Hightree
Tobacco Control Section
Department of Health Services
P.O. Box 942732, MS 555
Sacramento, CA 94234-7320
Proposal: RFA #TCS-00-102

For hand or overnight delivery:

Diane Hightree
Tobacco Control Section
Department of Health Services
601 North 7th Street, MS 555
Sacramento, CA 95814
Proposal: RFA #TCS-00-102

CDHS/TCS Phone Number:
(916) 327-5425

*** See Appendix D for directions to CDHS/TCS. ***

VII. REVIEW PROCESS

A. **Intent of the RFA Review Process**

CDHS/TCS intends to award contracts to three to five agencies to create innovative pilot projects deemed most responsive to the requirements stated within this RFA.

B. **Review Process**

Applications will be date and time stamped upon receipt at CDHS/TCS. No changes, modifications, corrections, or additions may be made to the application once it is received. Each application received at CDHS/TCS by 5 p.m. on Wednesday, June 28, 2000 will be reviewed for compliance with the requirements provided in this document. Applications that do not comply with the requirements will be excluded from the review. Omission of any required document or form, failure to use required formats for response, or failure to respond to any requirement may lead to the rejection of the application prior to the review. CDHS/TCS may waive any immaterial deviation in any application.

Each application that complies with the mandatory requirements will be evaluated and CDHS/TCS scored on a scale of 0 to 100 points by a review committee that may be comprised of CDHS/TCS staff, and other experts from the field of tobacco control, the arts community, and environmental groups. Applications will be evaluated and scored on a competitive basis. Applications receiving a score of 75 points or more will be considered for funding depending upon the availability of funds and non-duplication of local, state, or national tobacco control initiatives. There is no guarantee that scoring above 75 will result in funding or funding at the level requested.

The maximum point value of each section is as follows:

Narrative	30 points
Applicant Capability	30 points
Scope of Work and Evaluation	25 points
Budget and Budget Justification	15 points
	100 points

C. **Oral Interviews and/or Site Visits**

CDHS/TCS will conduct oral interviews and/or site visits with the top ranking applicants to establish their capability. Criteria and instructions for site visits will be sent under separate cover to applicants who score above 75 and who may be considered for an award.

D. **Notification of Decision**

Each applicant, whether selected for funding or denied, will be notified in writing of the funding decision. Applicants may receive, upon written request directed to CDHS/TCS, the consensus review tool summary page for their application which provides the score and overall strengths and weaknesses of their application.

E. Contract Negotiation

Following the award notification, contract negotiations will occur with the potential contractor in a timely manner. CDHS/TCS reserves the right to reject any proposed project(s) or project component(s). Following contract negotiations, the contractor is required to submit a detailed Scope of Work, Parts I and II, Budget, and Budget Justification in accordance with CDHS/TCS requirements, which will become part of the formal grant. Upon completion and approval of these documents, the grant will be fully executed and work may commence.

CDHS/TCS reserves the right to withdraw any award if an acceptable Scope of Work, Budget, Budget Justification and other CDHS/TCS required forms are not received by CDHS/TCS within 45 calendar days of being negotiated by CDHS/TCS and the awardee.

In the event that CDHS/TCS is unable to execute a contract with the initial successful agency, CDHS/TCS reserves the right to continue the evaluation of the applications and select the application that next most closely meets the requirements specified in this RFA, and that received a passing score of at least 75 points.

CDHS/TCS reserves the right to withdraw any award or negotiate the Scope of Work of any proposed projects or proposed project components if another agency funds the applicant to perform similar activities submitted under this RFA or if the proposed activities duplicate the activities or roles of other local, state or national objectives.

CDHS/TCS reserves the right to fund any or none of the applications submitted in response to this RFA. CDHS/TCS may also waive any immaterial deviation in any application. CDHS/TCS waiver of any immaterial defect(s) shall not excuse an application from full compliance with the contract terms if a contract is awarded.

F. Appeals Process

Only those agencies that submit an application consistent with the mandatory requirements of this RFA and are not funded may appeal. There is no appeal process for applications that are submitted late or are incomplete. Applicants may not appeal their funding level. Letters of appeal must be received no later than 5 p.m. on Monday, August 28, 2000, at the address indicated below. E-mail transmitted documents will not be accepted. Appeals shall be limited to the grounds that CDHS/TCS failed to correctly apply the standards for reviewing your agency's application in accordance with this RFA. The appellant must file a written appeal, which includes the issue(s) in dispute, the legal authority or other basis for the appellant's position, and the remedy sought. Incomplete appeals will be rejected. Appeals must be mailed or faxed to:

Donald O. Lyman, M.D., Chief, or designee
Division of Chronic Disease and Injury Control
California Department of Health Services
P. O. Box 942732, M.S. 504
Sacramento, CA 94234-7320
FAX: (916) 327-5424

At his sole discretion, the Chief of the Division of Chronic Disease and Injury Control or his designee may hold an appeal hearing with each appellant and then come to a decision based on the combination of the written appeal letter and the evidence presented at the hearing or based on the written appeal letter if no hearing is conducted. The decision of the Chief of the Division of Chronic Disease and Injury Control or his designee shall be final. Appellants will be notified in writing within fifteen (15) working days of their hearing date or the consideration of the written appeal letter if no hearing is conducted.

VIII. ADMINISTRATIVE AND PROGRAM EXPECTATIONS

Agencies applying for these funds must have the administrative ability to manage state grant funds and the technical expertise to successfully implement the proposed project activities. It is the experience of CDHS/TCS, that some applicants are unfamiliar with state procedures, requirements, and expectations. The following information is provided in order that prospective applicants might assess their ability to enter into a binding grant agreement with CDHS/TCS.

1. Grantees (funded agencies) are to expend funds in accordance with the negotiated line item Budget. If changes in line items, salary ranges, or staffing patterns need to be made, the grantee must request a Budget revision or a grant amendment depending on the changes. It is up to the discretion of CDHS/TCS whether or not to approve the requested Budget revision or grant amendment.

2. Grantees are reimbursed in arrears for actual expenses, which means the agency or individual incurs expenses and is then reimbursed by CDHS/TCS. The grantee submits a monthly invoice for expenses incurred in the previous 30 days and then the State has up to 30 days to pay certified small businesses and up to 45 days to pay others. **This means that the grantee must be able to cover at least 45 to 60 days worth of project payroll, indirect, and operating expenses prior to reimbursement by the State.** Additionally, grantees are to submit invoices to CDHS/TCS in a timely manner to ensure: 1) prompt payment of expenses, and 2) cash flow maintenance.

3. Grantees are expected to contact CDHS/TCS if they are having difficulties implementing the Scope of Work or need to make changes in the approved activities. The agency must be aware that it is legally bound to deliver the services as stated in the Scope of Work. This includes serving the number of people identified, conducting the stated number of activities, developing the identified educational materials, etc. If changes need to be made in the Scope of Work, the grantee must contact CDHS/TCS to discuss the issue and request a Scope of Work revision or a grant amendment. It is up to the discretion of CDHS/TCS whether or not to approve the request. **If grant deliverables, including Progress Reports, are not completed satisfactorily, CDHS/TCS has the authority to withhold and/or recover payment of funds.**

4. Grantees are expected to refer to and comply with the Competitive Grantees Administrative and Policy Manual. This manual is incorporated into and made part of the contract. The manual will be made available to successful applicants.

5 Grantees are to be knowledgeable of standard payroll practices including State and Federal tax withholding requirements.

6. Grantees are to maintain accounting records that reflect actual expenditures, including, but not limited to: accounting books, ledgers, documents; payroll records, including signed time sheets, etc.; and, following standard accounting procedures and practices that properly reflect all direct and indirect expenses related to this grant. These records shall be kept and made available for three (3) years from the date of the final grant payment.

7. Grantees are to obtain an annual single organization-wide financial and compliance audit. CDHS/TCS will reimburse the grantee for its proportionate share of the audit expense based on your overall funding.

8. Grantees are required to obtain prior approval from CDHS/TCS before they are reimbursed for any purchase order, subcontract, or consultant agreement costing $5,000 or more. Three (3) competitive bids are required as well as other documentation of the bid process. This information along with the proposed subcontract or consultant agreement must be submitted to CDHS/TCS for approval prior to reimbursement of such expenses.

9. Grantees are to have a procedure designating a person within their agency or organization who may sign payroll time sheets, requisitions, and invoices.

10. Grantees are to maintain accurate records regarding program implementation, which document the number of people served, materials developed, activities conducted, etc. It is expected that these documentation records may include, but will not be limited to logs, sign-in sheets, meeting minutes, survey and evaluation data, etc. It is recommended that the grantee set up documentation files by objective or major activities. Planning minutes, media outreach, and sign-in sheets, etc., should be filed in the objective-specific file as activities are completed.

11. Grantees are to have sufficient personnel to submit to CDHS/TCS timely, accurate, and complete progress reports every six (6) months, using the forms and format provided by CDHS/TCS.

12. Grantees are to have adequate personnel to ensure timely submission of accurate invoices, and maintain the fiscal integrity of the grant.

13. Grantees and all subcontractors should be aware that the State does not claim ownership, copyrights, royalties, or other claims to artwork produced as a result of this grant. However, CDHS/TCS reserves the royalty-free, non-exclusive and irrevocable right to reproduce, to prepare derivative works, to distribute copies, to perform, to display or otherwise use, duplicate, or dispose of such product, data or material in any manner for governmental purposes and to have or permit others to do so in perpetuity.

14. Grantees are to be aware that travel and per diem rates must not exceed those amounts paid to state non-represented employees. Additionally, out-of-state travel is not reimbursable without prior written approval by CDHS/TCS.

15. Grantees are expected to hire program and fiscal/administrative staff with the appropriate training and experience to fulfill all program grant related deliverables as well as to fulfill payroll, accounting, and administrative procedures.

16. Grantees are to be aware that CDHS/TCS may withhold payment of invoices for lack of documented and/or timely progress, as well as for any apparent non-compliance with contract requirements.

IX. APPLICATION INSTRUCTIONS

A. General Instructions

1. READ ALL INSTRUCTIONS CAREFULLY. Be sure to include all of the information required in this RFA, including all attachments and copies. Re-check the application to ensure completeness.

2. DO NOT ASSUME the reviewers have prior knowledge of the past history of the applicant agency or previous programs administered by the agency. The burden is on the applicant to demonstrate an understanding of the services to be delivered under the intended contract, and the ability to design and carry out services that are reasonably budgeted.

3. DO NOT PROVIDE ANY MATERIALS THAT ARE NOT REQUESTED. Any materials submitted that are not requested under this RFA will be discarded prior to application review, including pages that go over the maximum number in specified sections with page limitations. This includes résumés and agency brochures.

4. Number each page of the application consecutively.

5. The type font point size is to be no less than 12 characters per inch.

6. Folders and binders are **not** desired; securely staple the application in the upper left corner.

7. Clearly indicate *"Tobacco Control Through the Arts - RFA #TCS-00-102"* on the outside of the mailing envelope.

8. Attachments 6, 7, and 8 require a signature by the person authorized to legally bind the applicant agency to the commitment outlined in the application. **Allow for time to obtain these required signatures.**

9. Present the components of the RFA in the order listed below using the instructions provided on subsequent pages to complete each area.

   a. Application Cover Sheet (Attachment 1)

   b. Application Checklist (Attachment 2)

   c. Table of Contents (Attachment 3)

   d. Narrative – No Attachment provided, **15-page maximum**

      1) The Agency's Mission
      2) Description of Target Group and Service Area
      3) Proposed Scope of Work Summary
      4) Evaluation Measures

   e. Applicant Capability - No Attachment provided, **10-page maximum**, not including letters of support or samples of work:

1) Artistic and Program Qualifications
2) Administrative/Fiscal Experience
3) Equipment
4) Letters of Support (3 required)
5) Representative Samples of Work (3 samples required)

f. Scope of Work, Parts I and II (Attachments 4 & 5)

g. Budget - No Attachment Provided

h. Budget Justification - No Attachment Provided

i. *Drug-Free Workplace Certification (Attachment 6)

j. *Agency Documentation Requirements (Attachment 7)

k. *Certification of non-acceptance of tobacco funds (Attachment 8)

l. Current and Anticipated Incoming Funds (Attachment 9)

m. Proof of Non-Profit Status - No Attachment Provided

NOTE: (*) DENOTES THE DOCUMENT REQUIRES A SIGNATURE BY THE PERSON AUTHORIZED TO BIND THE APPLICANT AGENCY. READ THE DOCUMENTS AND ALLOW TIME TO OBTAIN THE REQUIRED SIGNATURE.

B. **Application Cover Sheet (Attachment 1)**

Item 1: Enter the **legal** name of the applicant. Fill in the project name. Enter the mailing address, which will appear on any subsequent agreement. Enter the name of the county in which the applicant's headquarters is located. Enter the name of the primary person to be contacted regarding this application, their phone number, fax number, and e-mail address. Enter federal identification number of the applicant agency.

Item 2: The applicable grant term, January 1, 2001 to December 31, 2002, is provided on the form.

Item 3: Enter the Budget amount requested for the **entire** grant term.

Item 4: Indicate the location and geographic coverage of the project.

Item 5: Indicate the topic area to be covered by the project.

Item 6: Indicate which of the art disciplines will be used by the project (e.g., literature, media arts, theater, visual arts, museum exhibits, etc.).

Item 7: The applicant official authorized by the agency to sign on behalf of the agency must sign and date the certification statement provided. Also, print the name and title of this official.

C. **Application Checklist (Attachment 2)**

The items included on the checklist are **<u>required</u>** to be submitted as part of the application and should be presented in the order noted. **<u>If any of the following items are omitted from the application, the application will be considered incomplete and out of compliance with this RFA and will not be reviewed</u>.** Complete the attached application checklist to ensure that all required components and application attachments are included.

D. **Table of Contents (Attachment 3)**

Applications must have a Table of Contents with page numbers referenced. Application sections must be presented in the sequence shown in the Application Checklist (Attachment 2).

E. **Narrative - 30 points (No Attachment provided, 15-page maximum).** <u>Please submit six additional copies of the narrative in addition to the original and six copies of the full application.</u>

Prepare a narrative section that provides the following information:

1. **The Agency's Mission**

   Describe your agency's general mission and how it relates to tobacco control efforts.

2. **Description Of The Target Group and Service Area**

   a. Describe the relevant demographic and cultural characteristics of the audience to whom your arts project is targeted.

   b. Describe quantitatively the number you are expecting to reach through the proposed activities.

   c. Describe the geographic area where services are to be offered and/or drawn from.

3. **Proposed Scope of Work Summary** - Summarize the proposed project. State each objective and describe:

   a. Major planning/coordination activities, conceptual and artistic development activities.

   b. Key messages to be delivered (e.g., tobacco advertising, historical use of tobacco in the American Indian population, environmental impact of tobacco, etc.).

   c. Methods and strategies you will use to communicate the key messages (e.g., museum exhibit, theater, lecture series, collateral materials, etc.).

   d. The rationale for the chosen activities and strategies (e.g., explain why you selected the key messages, strategies and approaches and why you think they are appropriate and will be successful).

e. Any policy promotion and adoption activities (e.g., agency adopts a non-acceptance of tobacco company or subsidiary policy, work with others to adopt similar policies, etc.).

4. **Evaluation Measures** - Describe what will be measured by your project and how it will be measured by tracking the following information as appropriate. For example: (Please see page 18 for a more comprehensive list that this section might address.)

   a. Who you will work with to plan and coordinate the project (e.g., local arts council, Local Lead Agency, regional theater association);

   b. The size and demographics of the audience who will view and/or participate in project activities;

   c. The reaction and/or satisfaction level of project participants (e.g., audience members, museum visitors, lecture attendees, etc.) to the project activities (through observational or self-administered surveys);

   d. Critical reviews or reactions to the project by the arts community or other influential groups.

F. **Applicant Capability - 30 points (No Attachment provided: 10 page maximum, not including Letters of Support and Samples of Work).**

Address the following items:

1. **Artistic and Program Qualifications**

   a. Describe your qualifications as they relate to museums, theater, art-education projects, tobacco control or social/environmental issues, particularly with regard to the activities being proposed.

   b. Describe the qualifications of key program staff, the evaluator, subcontractors, and/or consultants as they relate to museums, theater, art-education, social/environmental issues, tobacco control, and the proposed project. Describe their educational background and previous experience with the types of activities to be conducted. **Do not attach résumés.**

   c. Describe how the proposed project will be integrated into the agency's organizational structure and your agency's capacity to begin project activities for the public within 3 to 4 months and to deliver products and services.

   d. Describe your previous grant performance with a state, county, or federal agency that demonstrates your effectiveness and capacity to provide services, resources, and/or assistance. Indicate the amount of funding received, dates of the funding, and state three (3) major accomplishments resulting from this funding

2. **Administrative/Fiscal Experience**

   a. Describe the applicant's current administrative staffing pattern for activities, such as, payroll, bookkeeping and invoicing, as well as general tracking of administrative and fiscal controls. Describe the qualifications of key fiscal staff, including a description of the staff's experience with monitoring government grant funds. **Do not attach résumés.**

b. Describe the applicant's history in the last two (2) years managing state, county, or federal government grant funds. Include in the description the funding agency, the amount received, and how the grants were managed, (i.e., were the grant deliverables accomplished and were fiscal records in good standing). Describe the agency's overall fiscal health as evidenced by surplus/deficit position and any additional (non-governmental) funding sources.

c. Describe the applicant's auditing history for the past two (2) years. Include the frequency of audits, date of last audit, and a summary of major findings from the last audit.

d. Indicate if the applicant has been audited by a State agency within the last two years. If yes, list: 1) the name of the State agency; 2) State agency contact person and phone number; 3) the year the audit was conducted; and 4) the outcome of the audit. CDHS/TCS reserves the right, at its sole discretion, to follow up with references by telephone to confirm the audit history.

e. Describe previous marketing plans to promote project activities to the public. Include evidence of demonstrable success (e.g., increased ticket sales, or increased attendance at exhibits or performances).

3. **Equipment**

Describe the office and computer equipment the applicant has available for use in this project. Include in the description: a) the number and type of equipment available, (e.g., desks, chairs, typewriters, facsimile machines, personal computers, printers, etc.); b) whether or not the computers have modems and communications software; c) the software packages your agency uses for word processing, spreadsheets, databases, etc.; and d) approximately when the computer equipment was purchased, and its availability for use in this project, if funded.

4. **Letters of Support**

Solicit and include up to three (3) letters of support and attach them immediately following the agency capability narrative. Number these letters consecutively as part of the application. No more than three letters will be accepted. The letters of support are to include the following:

a. A description of the capacity in which the reference contact worked with the applicant.

b. The applicant's ability to provide the services, resources or assistance stated in the Scope of Work.

c. The applicant's fiscal and administrative ability to manage government grant funds, including submission of reports and general compliance with funding agency policies.

The letters are to be on the reference agency's letterhead and should include the address, telephone number, name, and title of the letter's author. If the applicant has in the past or is currently receiving funding from a local, state, or federal agency, other than CDHS/TCS, one of the letters must be from one of these agencies. Letters should **not** be sent directly to CDHS/TCS and will not be accepted after the application is submitted. **CDHS/TCS reserves the right, at its sole discretion, to contact references for further information.**

5. **Representative Samples of Work**

Three (3) separate appropriate samples of recent (since 1997) work must be submitted with the application. All samples should include any additional information available from arts-in-education activities if available. All materials must be labeled clearly with the submitting agency's name. Samples will not be returned after the RFA review process is completed. **Do not send originals.** One (1) set of the three work samples must be included with only the original application. Samples may include any of the following (each bullet equals one (1) sample):

- three different complete recent reviews from English language publications with publication name and date
- high quality audio tape that represent work you have completed – must be from a public performance within the last two years (please label all cassettes and boxes with your agency name, the title of the tape, date and place of performance – tape should be cued to an appropriate 5 minute segment)
- high quality VHS video tape that represents work completed must be from a public performance within the last two years (tape must include a written description of the content, and where and when it was recorded – tape should be cued to an appropriate 5 minute segment)
- complete promotional material used for a recent (since 1997) booking such as brochures, programs of public events, press releases, etc.
- slides (please enclose in a plastic slide file sheet, label each slide clearly, and indicate the top edge – do not send more than 10 slides)
- selected portfolio or other examples of quality work (must include information on dates, and locations and work exhibited)
- supplemental educational materials pertaining to an exhibit or performance
- writing samples – label each page with the artist's name and title of work, indicate date and name of publication

G. **Scope of Work, Parts I and II, including evaluation- 25 points (Attachments 4 & 5)**

1. **Overview**

a. There are two parts to the Scope of Work. Part I describes the specific steps and timeline of the project in an outline format. Part II provides a list of the project deliverables. A complete format is available online at the CDHS/TCS website: www.dhs.ca.gov/tobacco.

b. The seven column Scope of Work format <u>must</u> be used by all grantees to ensure consistency for review purposes by CDHS/TCS staff and reviewers. **Plans presented using a format other than that described below will NOT be reviewed.**

c. Carefully follow the Scope of Work requirements and preferences for funding. Provide all the required information and the detail necessary to make the proposed project clear. Applicants must provide all the required information as detailed in the instructions provided in this document.

d. The Scope of Work provides the basis for grant negotiations and, along with the Budget, becomes a legally binding document. The Scope of Work is referenced in the grant and is the "road map" that provides the direction, activities, and expected outcomes of the project. The approved Scope of Work and any subsequent revision is incorporated and made part of the grant. The Scope of Work can only be changed with prior approval from CDHS/TCS.

e. The Budget and Budget Justification should closely correspond to the Scope of Work activities, deliverables, and timelines. For example, if production of a print or radio ad is described in the Scope of Work, funds should be budgeted for creative development, production, and placement of the ad. If promotional items are to be distributed to program participants these should be listed in the Scope of Work and Budget.

2 <u>Instructions for Completing Scope of Work, Part I</u>

f. *Complete the Scope of Work, Part I using the following instructions. See Attachment 4 for a blank form and Appendices E and F for instructions, and overview tips for writing objectives.* A complete format is available online at the CDHS/TCS website: www.dhs.ca.gov/tobacco.

a. Header Information

Header information must be included for every page. Include your agency name and project name. The term of the contract is January 1, 2001 to December 31, 2002. The revision date is the date the plan is submitted to CDHS/TCS (e.g., June 28, 2000). Leave the grant number and Progress Report Period blank.

b. Column #1: Objectives/Activities/Evaluation

1) **Objectives** – Writing objectives may require a substantial amount of time and thought before the objectives are narrowed down to capture precisely what you want to accomplish. Keep in mind that if someone outside your

agency reads your Scope of Work, they should be able to understand what you propose to achieve. The objectives should be concise, yet capture: 1) who you are targeting; 2) what you are changing; 3) how you are making the change and by how much; 4) where the program occurs; and 5) by when it will be completed.

2) **Activities** – Use an outline format and short statement to describe the activities to be conducted and the evaluation steps. The level of detail required is necessary to ensure that thorough planning was done and that corresponding budgeted expenditures match the activities. It is recommended that applicants organize the activities under an objective by categories, such as, “Planning and Coordination,” “Exhibits,” “Performances,” “Workshops/Lectures,” “Educational Materials,” “Collateral Materials,” “Marketing/Outreach,” “Policy Development,” “Evaluation Activities,” etc., with specific steps such as planning meetings, script development, focus groups, rehearsals, etc., listed chronologically within each category.

   a) *<u>Describe the methods and strategies</u>*

   Methods and strategies may include: theater performances, museum exhibits, lecture series, collateral materials, use of media, etc. Describe major content or key message areas to be communicated (e.g., tobacco advertising, the history of tobacco in the American Indian culture, the environmental impact of tobacco (e.g., litter, deforestation), etc.). Describe any policy promotion and adoption activities that are to be undertaken (e.g., agency adopts non-acceptance of tobacco company or subsidiary policy, work with others to adopt similar policies, etc.).

   b) *<u>Describe incentive items</u>*

   Tobacco education projects may use incentives to reinforce or motivate a behavior change. They should only be given to participants attaining a pre-specified goal. If you plan to use incentives, identify the types of items you intend to use and how they will be used. If you do not know the exact incentive item you will be using, list possible examples (e.g., “incentive items, such as gift certificates, t-shirts, or mugs”). Refer to Policy Section, Chapter 300 on the CDHS/TCS website: <u>www.dhs.ca.gov/tobacco</u>, for more information on the use of incentives.

   c) *<u>Describe promotional items</u>*

   Promotional items are used to generate visibility and interest in the program. Promotional items should be used in a planned manner and generally should require some action on the part of the receiver (e.g., complete a tobacco industry knowledge quiz). If you plan to use promotional items in your program, identify the items and how they will be used in the appropriate area of the Scope of Work. If you do not know the exact promotional item you will be using, list possible examples (e.g., "buttons, key chains, or magnets"). Refer to Policy Section, Chapter 300 on the CDHS/TCS website: www.dhs.ca.gov/tobacco, for more information on the use of promotional items.

d) *Describe Educational Materials Development*

This includes creating, printing and disseminating educational materials, such as pamphlets, curricula, flip charts, flash cards, videos, CD-ROMs, etc. If you plan to develop educational material, describe the format of the piece (e.g., video, pamphlet, CD-ROM, etc.), content, length in pages or time (e.g., a range, such as 25 to 30 pages or 5 to 10 minutes is appropriate), who the target audience is, and the number to be printed or produced (again, a range is appropriate). For example, "Produce a CD-ROM and exhibition catalog to accompany the tobacco advertising exhibition. The CD-ROM will function as a multimedia companion to the exhibition catalog, and will feature student artwork and interactive games as well as resources. 500 to 1,000 copies of the CD-ROM and exhibition catalog will be produced and distributed to art instructors in the geographic region of the museum." Refer to Policy Section, Chapter 300 on the CDHS/TCS website: www.dhs.ca.gov/tobacco, for more information on educational materials development.

e) *Describe Media Activities*

Describe the media that will be used to market the project to the target population and to support program efforts (e.g., electronic, outdoor, newspaper, public relations, etc.). Include the length of the public service announcements (PSAs) and paid ads, and the number of times they will be aired. For billboards, indicate the number of months they will be displayed. Refer to Policy Section, Chapter 500 on the CDHS/TCS website: www.dhs.ca.gov/tobacco, for more information on integrating media activities.

f) *Indicate How Much Will Be Done*

Quantify the amount of work to be performed in order to help justify the Budget request. You are encouraged to use ranges. Indicate the length, frequency, and number of performances, how long exhibits will be in place, trainings, number of educational materials to be developed and distributed, etc. For example, a museum exhibit rotating through 4 locations for 3 months each, with 3 weekly educational sessions lasting 2 hours at each venue.

g) *Indicate Where Activities Occur*

Indicate, where appropriate, the geographic location or site where activities will occur, (e.g., a travelling exhibition to visit all California Children's museums, theaters in selected cities with arts in education programs (specify), library displays in 300 libraries across the state (specify cities)).

3) **Evaluation** – In bulleted statements, describe the elements of your process evaluation. Be sure to include methods to qualitatively and quantitatively describe and/or document the following as appropriate:

- Successes
- Unanticipated barriers and challenges to project implementation
- Collaborations with other organizations, as well as new organizational relationships
- Unanticipated outcomes (e.g., negative/positive media coverage, pressure from tobacco industry influences, public records requests, etc.)
- Message development processes
- The number of people who view and/or participate in project activities
- Audience demographics
- Whether the project reached the intended audience
- Audience reaction to and satisfaction with the project activities
- Changes in beliefs, feelings, attitudes, perceptions, or emotional response as a result of exhibits or performances, particularly on a community level
- Key opinion leader (e.g., art critics, art directors, curators, museum officials) changes in the above
- Media coverage(e.g., art reviews in the media)
- A final report or handbook that summarizes the project, materials, outcomes, and lessons, that may be utilized by other organizations attempting similarly focused interventions in the future

c. Column #2: Start/End Date

Indicate the time frame during which each intervention or activity will be completed in a sequential order. Give a targeted start and end date. This will be useful in budgeting staff time, and overall project planning. Do not give the entire plan period as the start and end date for each activity.

d. Column #3: Who is Responsible

Indicate who is responsible for each activity. This may include program staff (indicate **specific position**, such as Project Director or Marketing Specialist, volunteers, consultants, or subcontractors. You may abbreviate position titles (e.g., PD for Project Director)). Provide a key to identify position titles if using acronyms. Do not include agencies/individuals that are not within your control (e.g., schools, etc.).

e. Column #4: Tracking Measures

List the items that are used to document and verify that activities are completed. These measures may range from exhibit announcements, sign-in sheets, meeting logs, press releases, clippings, agendas, and meeting minutes, to more complex measures such as, focus group findings, survey instruments and results, message development processes, audience demographics, audience reaction, media coverage, and organizational collaborations and relationships. Very simply, these measures verify that the activity occurred and provide supporting documentation for the progress report.

f. Column #5-7: For Progress Report Use Only

These columns should be left blank. They are used only for completing progress reports.

3. **Instructions for Completing Scope of Work, Part II**

g. Complete the Scope of Work, Part II using the following instructions. *(See Attachment 5 for a blank form).* A complete format is available online at the CDHS/TCS website: www.dhs.ca.gov/tobacco.

a. Header Information

Complete the header as you did for the Scope of Work Part I. Number the pages of the Scope of Work, Part II as a continuation of the last page in the Scope of Work Part I. For example, if the last page of the Scope of Work, Part I is 10 of 13, the first page of the Scope of Work, Part II should be 11 of 13.

b. Column #1: Summary List of Major Program Deliverables

Scope of Work, Part II is to concisely summarize and quantify the deliverables in Scope of Work, Part I. In general, the term “deliverables” refers to products and services developed or conducted under the contract. In addition, deliverables may include activities and materials such as exhibits, performances, lectures, workshops, collateral materials, educational materials developed, assessments, surveys and focus groups conducted, articles written, PSA’s, paid radio, TV ads, etc. **Briefly restate each objective and underneath the objective, list the major deliverables in their order of appearance in the Scope of Work, Part I. The deliverables should be listed in sequential order (i.e., 1, 2, 3, etc.) by objective, as they appear in**

the Scope of Work, Part I. Quantify all deliverables, (this can be a range of how many items, hours, days, etc.) Do not include those activities that help lead to achievement of the major program deliverables, such as, attending planning meetings, networking, or coordinating activities. **Tangible, concrete deliverables are the only items to be listed in the Scope of Work, Part II.**

c. Column #2: ©

Place a copyright sign (©) next to each program deliverable that is subject to copyright laws. This includes such deliverables as educational materials, advertising, data, etc. Refer to Appendix G for more information regarding copyright of materials produced.

d. Column #3: %

For each major project deliverable, indicate the programmatic value, by percent of that deliverable in terms of staff and Budget resources. This column must total 100 percent. All activities and deliverables specified in the Scope of Work must be fully performed or produced in order for the grantees to receive the maximum award negotiated with CDHS/TCS. If at the end of the grant term, CDHS/TCS determines that any activity or deliverable was not fulfilled in its entirety or the quality of the product was unsatisfactory, CDHS/TCS will reduce the maximum amount payable to the grantee according to the percentage of work not completed. The Scope of Work, Part II is used to help ascertain and calculate the maximum amount the grantee should be paid at the end of the grant term should the Scope of Work, Part I not be completed in its entirety.

e. Column #4: Health Education Consultant's Contract Closeout Notes

Do not complete this column. This is the column that the CDHS/TCS Health Education Consultant uses when reviewing the final progress report to determine if program deliverables were completed as stated.

H. Budget Section (15 points)

This section provides information and instructions on the Budget and Budget Justification that must be included in your application.

1. Budget/Budget Justification Funding Preference

Funding preference shall be given to applicants that:

a. Submit reasonable Budgets for the proposed quality and quantity of activities in the Scope of Work;

b. Propose reasonable personnel and consultant costs, given the qualifications of the individuals and needs of the project;

c. Propose salaries and consultant fees consistent with comparable State civil service positions; and

d. Provide the level of detail requested in the Budget and Budget Justification instructions.

2. **Advance Payments**

Advance payments may be granted to awarded contractors according to CDHS policies. Advance payments will be considered on an individual basis and will depend upon the need of the applicant and approval of CDHS/TCS.

3. **Budget Instructions**

The Budget is a summary of the expenses described in the Budget Justification. It must be realistic, cost-effective, and appropriate to the proposed Scope of Work. The Budget is the controlling mechanism for expenditures and the basis for approval of invoices.

Prepare one Budget for the entire grant term, which is January 1, 2001 through December 31, 2002. This Budget must also reflect individual budgets for each FY within the grant term. Only use whole numbers and round to the nearest dollar. Please refer to Appendix H for the required Budget format.

Once approved, the Budget will be incorporated into the grant.

The Budget consists of nine (9) categories:

- Personnel Costs;
- Fringe Benefits;
- Operating Expenses;
- Equipment Expenses;
- Travel/Per Diem and Training;
- Subcontracts and Consultants*;*
- Other Costs;
- Total Direct Expenses; and
- Indirect Expenses.

The Subcontracts and Consultants and Other Costs categories may contain several line items with associated costs. Each line item within these two categories must be itemized in the Budget and Budget Justification.

4. **Budget Justification Instructions**

The Budget Justification: 1) describes and justifies the expenditures associated with the activities in the Scope of Work, and 2) helps evaluate the Scope of Work and Budget. Prepare one Budget Justification for the entire grant term. Only use whole numbers and round to the nearest dollar*.* The amounts in the Budget columns and Budget Justification must be the same. Please refer to Appendix I for the required Budget Justification format. This format is required to maintain a standardized review and audit trail.

When preparing the Budget Justification, take into consideration changes that may occur due to programmatic or administrative needs. For example, the number of staff increase/decrease as program intensity fluctuates.

a. Personnel Costs

This category of the Budget Justification provides detail on the following:

1) Position Title:

List all classifications or functional titles for positions for this grant such as: Administrative personnel (e.g., Executive Director, Administrator, Marketing Specialist, Artistic Director, Curator, Bookkeeper, etc.); Artistic personnel (e.g., Conductor, Composer, Choreographer, Designer, Video Artist, Filmmaker, Painter, Poet, Sculptor, Actor, Dancer, Musician, etc.); and Technical personnel (Technical Director, Electrician, Lighting and Sound Crew, Exhibit Worker, Carpenter, etc.). Administrative personnel positions budgeted at less than 10 percent should not be included in the Personnel Costs category, but should be included in the Indirect Expenses category. Any applicant having an established policy that includes such positions in the Personnel Costs category shall so indicate and attach a copy of the policy to the Budget Justification.

2) Salary Range:

Identify the actual salary range and the frequency of pay periods (monthly, semi-monthly, bi-weekly, weekly, hourly) for each position. The salary range shall reflect the frequency that the employee is actually paid.

Indicate the salary range for each position based on the full-time salary, regardless of the actual time base budgeted. Each salary range shall allow for anticipated salary increases (e.g., merit salary adjustments, bilingual pay, etc.) through the end of the grant term.

Salaries shall not exceed those paid to State personnel for similar positions/classifications. Please refer to Appendix J, Comparable State Civil Service Classifications.

If any salary exceeds the comparable State salary range, then justify the excess. Any such justification must be approved in writing by the State. CDHS/TCS may request additional information during grant negotiations.

3) Percent of Time:

For each position indicate the percentage of time, using whole numbers, or the total hours per pay period. If the amount of time for a position varies from month to month, then indicate a percentage range of the time base.

4) Pay Periods:

Indicate the number of pay periods for which payment shall be claimed. Pay periods are defined as follows:

Monthly = 12 pay periods per year
Semi-monthly = 24 pay periods per year
Bi-weekly = 26 pay periods per year
Weekly = 52 pay periods per year
Hourly = “X” number of hours per year

5) Amount Requested:

Calculate and list the Amount Requested by FY for each position. (Salary X percent of time X number of pay periods = Total Salary). Add the total salaries for each position to obtain the Total for Grant Term. Please refer to Appendix I, Budget Justification.

Please note that the total salary for each position has two restrictions.

a) The total salary **cannot be less** than the amount computed by multiplying the lowest amount within the salary range X the lowest percentage of time X the lowest number of pay periods.

AND

b) The total salary **cannot be greater** than the amount computed by multiplying the highest amount within the salary range X the highest percentage of time X the highest number of pay periods.

6) Description of Duties:

Provide a summary of the responsibilities for each position. Indicate the position(s) responsible for the evaluation activities.

7) Total Personnel Costs:

Add the amount budgeted for each position to compute the Total Personnel Costs for each FY and the grant term.

a. Fringe Benefits

Fringe benefits do not include employee leave (i.e., annual leave, vacation, sick leave, holidays, jury duty, and/or military leave training). Include employee leave in the salary paid to the employee.

List the benefits that your agency provides. Indicate the percentage rate and dollar amount requested for Fringe Benefits. If the percentage rate for benefits differs for various positions, indicate the low and high range (e.g., 20-25 percent).

If applicable, identify the positions that do not receive benefits with an asterisk (*).

b. <u>Total Personnel Expenses</u>

Add the Total Personnel Costs and Fringe Benefits to compute the Total Personnel Expenses for each FY and the grant term.

c. <u>Operating Expenses</u>

Provide a summary of non-personnel expenses that are not chargeable to Indirect Expenses and indicate the budgeted amount for each line item.

Operating Expenses include, but are not limited to, the following line items:

1) General Expenses:

a) Office Supplies - Office supplies refer to general supplies such as pens, pencils, paper, etc.

b) Postage - Postage includes all mailing expenses.

c) Duplicating - Duplicating refers to photocopying expenses or reproduction costs of printed materials for small office jobs. This sub-line item also includes the tobacco project's share of the applicant's copy machine usage and costs for copier maintenance agreements and copier supplies.

2) Communications:

Communications refer to the monthly charges and installation costs associated with the telephone system. This may also include costs for FAX lines and Internet accesses.

Cellular phones and monthly access fees are not authorized for this grant.

Pagers and monthly fees may be authorized. Pagers will be considered on an individual basis and is dependent upon the need of the applicant and approval of CDHS/TCS.

All funded grantees are required to obtain and maintain an active PARTNERS (TCS Communications Network) account. While there is no charge for this subscription, your agency must budget for an Internet provider. Internet access fees are generally $20-$25 per month. Budget monthly fees for Internet access fees during the grant term. A modem is required to access PARTNERS, and the purchase of a modem may be budgeted in the Equipment category. Refer to Policy Section, Chapter 300 on the CDHS/TCS website: www.dhs.ca.gov/tobacco, for more information on the PARTNERS Computer Network System.

3) Printing:

Printing refers to the reproduction costs of training guides, business cards, brochures, posters, etc., for larger jobs and is usually completed by outside vendors.

4) Space Rent/Lease:

Square footage shall not exceed 150 square feet per full-time equivalent (FTE) plus "reasonable" square footage for shared space such as conference rooms, storage space, etc.

Provide the total number of square feet and the budgeted amount to be charged to this grant. Consider any rate increases during the grant term.

Example:

2 staff x	150 sq. ft. x	$1.00/sq. ft. x	6 mo.	=	$1,800
2 staff x	150 sq. ft. x	$1.25/sq. ft. x	12 mo.	=	$4,500
2 staff x	150 sq. ft. x	$1.25/sq. ft. x	6 mo.	=	$2,250
			Total for 24 mo.	=	$8,550

If the total square footage per FTE exceeds State standards, then justify the need for the additional space.

5) Equipment Rental:

List all rental equipment, quantify each item, and provide for each item the monthly rental rate, number of rental months, and the approximate dollar amount. Examples of rental items are computer and office equipment, large trucks or vans for transporting exhibit materials, audio/visual equipment, etc.

NOTE: "Renting/Leasing to own, Purchase/Leaseback, and Lease/Purchase" of equipment is not allowed.

6) Audit Expenses:

All CDHS/TCS funded grantees are required to conduct an annual Financial and Compliance audit. The budgeted amount should represent the proportionate amount of this grant in relationship to your business' total revenue. For example, if this grant represents 10 percent of your business' total revenue, then this grant would be responsible for no more than 10 percent of the total annual audit costs.

Provide the dollar amount allocated for the audit, the calculation for this amount, and the percentage this grant represents of your business' total revenue. Also identify the FY in which you operate (e.g., July 1 through June 30).

This Audit Expense line item, plus the Indirect Expenses line item, cannot exceed 25 percent of your Total Personnel Expenses (Personnel Costs plus Fringe Benefits).

Audit costs may be budgeted in this line item **or** in Indirect Expenses. Grantees choosing not to allocate funds for audit purposes must provide a written justification explaining their compliance with the audit requirement.

7) Other Operating Expenses (Detail):

Detail expenses not listed above or do not conform to the above line items. Examples are not limited to the following: costs associated with a traveling exhibit, (lumber, paint, hardware, etc.); or theater performance (costumes, set design expenses, makeup, etc.).

8) Total Operating Expenses:

Add all Operating Expense line items in order to compute the Total Operating Expenses for each FY and the grant term.

d. Equipment Expenses

Equipment expenses include the purchases of all computer and office equipment, and other art-related equipment necessary for the chosen medium or discipline. Due to the anticipated limited funding amount of grant awards from this RFA, equipment purchases will be considered on an individual basis and will depend upon the need of the applicant and approval of CDHS/TCS.

Computer equipment includes, but is not limited to, personal computers, software, printers, scanners, external Zip drives, external hard drives and replacements, external modems, and uninterrupted computer power supply adapters.

Office equipment includes, but is not limited to, desks, conference tables, chairs, conference call speakers, telephones, fax machines, and cameras.

List all equipment purchases, quantify each item, and provide the approximate dollar amount. Justify the need for each equipment purchase.

e. Travel/Per Diem and Training

Travel and training are to be consistent with the needs of the tobacco control project and support the Scope of Work. Travel expenses are reimbursed at the current State Department of Personnel Administration (DPA) rates. Please refer to Appendix K, Travel Reimbursement Information.

Additionally, State funds may not be used for per diem and trainings/conferences associated with out-of state travel without prior written approval by CDHS/TCS.

1) Local Travel/Training:

a) Local Travel:

Local travel expenses include airfare, meals, lodging, incidental expenses and mileage. This line item may include mileage for project-related activities (e.g., to attend local or Ethnic Network meetings, travel costs associated for transporting a traveling exhibition, trainings, etc.).

Provide the dollar amount requested for local travel that is directly related to completion of the Scope of Work.

b) Local Training:

Local training costs include registration fees for staff development or any other additional training events for professional, artistic, clerical, and administrative personnel; advisory board members; youth volunteers; committee members; etc., necessary for the completion of activities in the Scope of Work. Training may include courses on computer software, meeting facilitation, planning, leadership, etc.

Whenever possible, identify the training/conference, its location and date(s), the number of individuals attending, and the total cost to attend.

Provide the dollar amount requested for local training costs that are related to completion of the Scope of Work.

2) CDHS/TCS Travel and Training/Conferences:

a) General Description:

Number of Trainings/Conferences: CDHS/TCS and its Statewide Contractors (e.g., Tobacco Education Clearinghouse of California, statewide public relations contractor, BREATH, Ethnic Networks, and others) typically conduct 12-14 trainings/conferences each year.

These trainings/conferences are specifically directed toward CDHS/TCS-funded projects, provide opportunities for project staff to learn from national, state, and local experts regarding program development and implementation, evaluation, media, and advocacy, and are a means to be connected to California's larger tobacco control movement.

Length of Trainings/Conferences: Each training/conference is usually 1-2 days. A statewide conference may be 2-3 days.

Training/Conference Topics: Topics generally cover a broad range such as educational materials development, youth advocacy, in-store advertising strategies, youth access to tobacco issues, coalitions, smoke-free bars, chew/dip and cigar tobacco, transnational tobacco issues, evaluation, and spokesperson training.

Training Sites: Each training is usually offered only once. Some other trainings are offered twice: one in Northern California (Bay Area or Sacramento counties) and another in Southern California (Los Angeles, Orange, or San Diego counties).

b) Travel/Training Budget Guidelines:

Required CDHS/TCS Trainings/Conferences

(1) New Grantee Orientation:

This is a one-day session for the Project Director and the person who is responsible for fiscal matters. This event occurs in the first six months of the project.

Budget $250 per person ($125 for travel/per diem and $125 for registration) for 2 people to attend.

(2) Project Directors' Conference/Evaluation Showcase:

This event (generally every 18 months) is typically a 3-day conference for 1-2 program staff/consultants.

Budget $1,200 per person ($1,000 for travel/per diem and $200 for registration) for a maximum of 2 people to attend.

(3) Trainings/Conferences Required by CDHS/TCS and Statewide Contractors:

CDHS/TCS requires attendance at 2-4 trainings/conferences per year. Each is usually 1-2 days for 1-2 program staff.

Budget $375 per person ($250 for travel/per diem and $125 for registration) for each person to attend 2-4 trainings/conferences.

(4) Statewide and National Conferences:

During the course of the two-year grant there may be 1-2 statewide or national conferences (sites to be determined) where there will be opportunities to showcase the developed art project to national and international tobacco control partners. Depending on the size and scope of the developed art project, the costs associated to present at these conferences will vary greatly. See two examples below:

A theatre company of approximately 30 people (1 director, 20 performers, 6 crew, and 3 assistants) will attend the World Health Organization International Conference in Chicago, IL to present a theatre performance. At an average cost of $1,000 per person, plus shipping of costumes and props to and from the conference, the approximate cost to attend the conference will be $40,000 (30 staff X $1,000 = $30,000 + $10,000 for shipping costumes, props, etc.).

A museum exhibit on the history of tobacco use, and the exploitation of Native American cultures by commercial tobacco, will be displayed at the World Health Organization International Conference in Chicago IL. Nine staff (2 presenters, 7 exhibit workers) at an average cost of $1,000 per person, plus shipping of exhibit to and from the conference will be required. The approximate cost to attend the conference will be $30,000 (9 staff X $1,000 = $9,000 + $21,000 for shipping of exhibit and educational materials).

Budget approximately $1,000 per person (for travel and per diem for approximately 3 days) *annually* for each person to attend 1-2 statewide or national conferences, to be determined, to showcase or present your developed art project. Include the cost of transportation and shipping of materials in your estimate.

f. Subcontracts and Consultants

Subcontracts and Consultants include both subcontractor agreements and consultant agreements. CDHS/TCS must review and approve **any** agreement costing $5,000 or more.

A subcontractor is an individual or organization who performs a specialized task that is directly related to providing project services. Typical services provided by a subcontractor are: conducting local surveys of theaters, museums or galleries, developing anti-tobacco use education materials, coordinating large anti-tobacco use education events, etc. The use of subcontractors must be clearly defined in the Scope of Work.

A consultant is an individual whose level or area of expertise relating to the target population extends beyond that possessed by the applicant's project staff. Typical services provided by a consultant are advice on programmatic issues such as group facilitation, in-service training, program design and development, etc. Consultants are to be used only for activities directly related to the tobacco education and prevention program. The use of consultants must be clearly defined in the Scope of Work.

The rate paid to a consultant should be commensurate with his/her level of training, expertise, and national recognition. Every effort should be made to negotiate the lowest possible rate.

Salaries paid to a subcontractor or consultant shall not exceed those paid to State personnel for similar positions/classifications. Refer to Appendix J, Comparable State Civil Service Classifications.

List each subcontractor and consultant and provide the budgeted amount, contract term, and description of services for each.

g. Other Costs

1) Educational Materials:

This line item includes the purchase of brochures, pamphlets, posters, curriculum, training guides, videos, slides, flip charts, CD-ROMs, etc., necessary for program activities. Refer to Policy Section, Chapter 300 on the CDHS/TCS website: www.dhs.ca.gov/tobacco, for more information on educational materials.

Provide a list of educational materials and the total amount requested. Do not itemize; use broad categories and estimates only.

2) Promotional Items and Incentives:

a) Promotional Items:

These are inexpensive miscellaneous items (e.g., buttons, key chains, stickers, posters, etc.) given to individuals in order to generate visibility and interest, to increase public awareness, and to promote attitudes which support tobacco control activities in the community. The use of promotional items must be referenced in the Scope of Work. Refer to Policy Section, Chapter 300 on the CDHS/TCS website: www.dhs.ca.gov/tobacco, for more information on promotional items.

Provide a list of promotional items and the total amount requested. Do not itemize or give details of quantity, cost or subtotal for each item.

b) Incentives (Not To Exceed $40 Per Participant Per Year):

These are rewards or awards given to intervention participants to reinforce or motivate a positive behavior change. They should only be given to participants attaining a pre-specified goal. Incentives cannot exceed $40 worth of merchandise per person per year. **Cash rewards or cash awards are not permitted.** The use of incentives must be referenced in the Scope of Work. Refer to Policy Section, Chapter 300 on the CDHS/TCS website: www.dhs.ca.gov/tobacco, for more information on incentives.

Provide a list of incentives and the total amount requested. Do not itemize or give details of quantity, cost or subtotal for each item.

3) Media, Public Relations, and Advertising:

This line item may include the development, purchase, or placement of public service announcements (PSAs), paid advertisements on radio, television, newspaper, magazines, billboards, bus shelter ads, organizational newsletters, and neighborhood advertising papers. Development of PSAs, radio, television, and print advertisements may be budgeted either in this line item or in the Subcontracts and Consultants category. All planned media must be referenced in the Scope of Work. Refer to Policy Section, Chapter 500 on the CDHS/TCS website: www.dhs.ca.gov/tobacco, for more information on media activities.

Provide a list of the planned media that supports activities in the Scope of Work and the total amount requested.

4) Additional Expenses:

This line item allows for expenditures that otherwise are not listed in this sample Budget Justification. If you use line items under Additional Expenses, then list them individually and be specific (e.g., fees for renting a meeting room to conduct training, or renting an auditorium for an exhibit or performance, etc.). All expenditures for items listed under Additional Expenses must also be referenced in the Scope of Work.

Provide justification and the amount requested for each additional line item.

5) Total Other Costs:

Add all Other Costs to line item in order to compute the Total Other Costs for each FY and the grant term.

h. Total Direct Expenses

Add Total Personnel Expenses, Operating Expenses, Equipment Expenses, Travel/Per Diem and Training, Subcontracts and Consultants, and Total Other Costs to compute the Total Direct Expenses for each FY and the grant term.

i. Indirect Expenses

Indirect Expenses are costs that are not directly associated with the project's deliverables. Examples of Indirect Expenses are: management and fiscal personnel (e.g., Executive Director, Deputy Director, Attorney, Bookkeeper), bookkeeping and payroll services, utilities, building and equipment maintenance, janitorial services, insurance costs and any expenses related to the mandatory annual Financial and Compliance audit.

Provide a list of all Indirect Expenses charged to this grant and the dollar amount requested. **Indirect Expenses CANNOT EXCEED 25 percent of the Total Personnel Expenses (Personnel Costs plus Fringe Benefits).**

j. Total Expenses

Add Total Direct Expenses and Indirect Expenses to compute Total Expenses for each FY and the grant term.

5. **Evaluation Synopsis**

Provide a brief synopsis after Total Expenses on the 2.5 percent - minimum requirement for evaluation activities. Include the following in the evaluation synopsis:

a. a list of all line items that will have any evaluation expenses;

b. the dollar amount of the evaluation expenses per line item; and

c. the total amount budgeted for evaluation.

Consider the following factors when determining the evaluation Budget:

a. at least five (5) percent of a lead staff person's time (at 100 percent full-time equivalency) is required to oversee and coordinate the evaluation activities;

b. any operating expenses (such as duplicating, posting on PARTNERS, etc.) related to the evaluation activities.

Example of Synopsis:

The amount of $400,000 is requested for this grant term. Therefore, a minimum of $10,000 is budgeted to meet the 2.5 percent - evaluation requirement.

a. Personnel:

Museum Director: Budget $5,200 for 5 percent of the Museum Director's time (at 100 percent time base) for the 24 months of the grant term to work with the designated evaluator.

Museum Curator: Budget $3,300 for 5 percent of the Museum Curator's time for 18 months of the grant term to survey museum patrons.

Temporary Help: Budget $1,350 (150 hours x $9 per hour) for temporary help to input data.

b. Operating Expenses: Budget $2,500 for supplies associated with collecting data and dissemination of evaluation findings (posting on PARTNERS, duplicating, mailing, etc.); and

c. Travel: Budget $2,000 to travel to Sacramento to meet 3-4 times with the CDHS/TCS designated Evaluator for workshops and technical assistance on evaluation component of Scope of Work.

Allocation = $14,350 (3.5 percent of Budget).

I. Additional Required Forms

The following additional documents require Completion/Signature by the person authorized to bind the application agency.

- Drug Free Workplace Certification
- Agency Documentation Requirements
- Certification of Non-Acceptance of Tobacco Funds
- This form must be completed following the instructions on the form.
- Current and Anticipated Incoming Funds
- Proof of Non-Profit Status

  Note: California public or private nonprofit organizations are eligible to apply for funds. For those applicants claiming private nonprofit status, a certification from the State of California, Office of Secretary of State, or a letter from the Department of the Treasury, IRS classifying the applicant as a private nonprofit must be included with the application (See Sample Form, Appendices A and B).

X. TABLE OF CONTENTS FOR ENCLOSED ATTACHMENTS

COVER SHEET: RFA TCS-00-102 Tobacco Control Through the Arts

1. Applicant Information:

   Applicant Name ____

   Project Name____

   Mailing Address ____

   City ____ Zip____________

   County ____

   Contact Person's Name ____

   Telephone (_________)____________________ FAX (_____)____________________

   E-mail ________________________Federal Identification Number___________________

2. Term of Grant: From 01/01/01 to 12/31/02

3. Total Budget Amount Requested (for entire grant term of 01/01/01 to 12/31/02):_______________

4. Location/and Geographic Coverage of Project: _________________________________

5. Check one or more of the Topic Areas:
   - ☐ Exposing Tobacco Advertising and Marketing Practices
   - ☐ Chemical and Biological Characteristics of Tobacco
   - ☐ Physiological Effects of Nicotine Habituation and Addiction
   - ☐ Exposing Historical, Financial and Social Aspects of Tobacco Use or the Tobacco Industry
   - ☐ Exposing Environmental Issues Associated with Tobacco Production and Use

6. Check one or more of the following Disciplines:
   - ☐ Literature
   - ☐ Media Arts
   - ☐ Museum Exhibits
   - ☐ Theatre
   - ☐ Visual Arts
   - ☐ Other: ______________________________

   ☐ Consortium or Collaborative Proposals (prime discipline) ____________________________

7. The undersigned hereby affirms that the statements contained in the application package are true and complete to the best of the applicant's knowledge and accepts as a condition of a grant, the obligation to comply with the applicable state and federal requirements, policies, standards, and regulations. The undersigned recognizes that this is a public document and open to public inspection. Person authorized by the Board to sign (e.g., Board of Directors, Superintendent of Schools, etc).

Signature
of Agency Representative ____________________________________ Date___________

Print Name and Title____

APPLICATION CHECKLIST

The following attachments and components must be completed and submitted in the order shown here. Applications missing any of these attachments or components will be considered non-compliant and will not be reviewed.

Attachments and Components

	Check Mark
✓ 1 original and 6 copies of the application (each containing the following):	____________
➢ • Application Cover Sheet (Attachment 1)	____________
• Application Checklist (Attachment 2)	____________
• Table of Contents (Attachment 3)	____________
• Narrative – (No Attachment Provided, 15 page limit)	____________
• The Agency's Mission	____________
• Description of Target Group and Service Area	____________
• Proposed Scope of Work Summary	____________
• Evaluation Measures	____________
• Applicant Capability – (No Attachment Provided, 10 page limit, not including Letters of Support or Samples of Work)	____________
• Artistic and Program Qualifications	____________
• Administrative/Fiscal Experience	____________
• Equipment	____________
• Letters of Support (3 required)	____________
• Representative Samples of Work (1 set of 3 samples, with the original application only, required)	____________
• Scope of Work, Parts I and II, including evaluation (Attachments 4 & 5)	____________
• Budget (No Attachment Provided)	____________
• Budget Justification (No Attachment Provided)	____________
➢ • Drug-Free Workplace Certification (Attachment 6)	____________
➢ • Agency Documentation Requirements (Attachment 7)	____________
➢ • Certification of Non-Acceptance of Tobacco Funds (Attachment 8)	____________
• Current and Anticipated Incoming Funds (Attachment 9)	____________
• Proof of Non-Profit Status (No Attachment Provided)	____________
✓ 6 additional copies of the narrative (only)	____________

NOTE: ➢ DENOTES THE DOCUMENT REQUIRES A SIGNATURE BY THE PERSON AUTHORIZED TO BIND THE APPLICANT AGENCY. READ THE DOCUMENTS AND ALLOW TIME TO OBTAIN THE REQUIRED SIGNATURE.

Tobacco Control Through the Arts

PAGE

TABLE OF CONTENTS

ATTACHMENT 4

Exhibit C

Tobacco Control Section
Scope of Work/Workplan, Part I

Grant Number: | **Grant Term:**

Agency Name: | **Revision Date:**

Project Name: | **Report Period:**

Objectives/Activities/Evaluation	Start/ End Date	Who Is Responsible	Tracking Measures	For Progress Report Use Only: Document Number/ Letter	Actual Date(s) Completed	TCS Use Only: Document Rec'd & Okay
Priority Area:						

* Indicates a change
+ On file in office

10/98

Page ___ of __

ATTACHMENT 5

EXHIBIT C

Tobacco Control Section

Scope of Work, Part II

Grant Number: ______________________ Grant Term: ______________________

Agency Name: ______________________ Revision Date: ______________________

Project Name: ______________________

SUMMARY OF MAJOR PROGRAM DELIVERABLES **List the deliverables in the order they appear in Scope of Work, Part I. Quantify and briefly describe the deliverables.**	**©**	**%**	**Health Education Consultant's Contract Close Out Notes**
Objective: **Deliverables:** **1.** **2.** **Etc.** **Objective:** **Deliverables:** **1.** **2.** **Etc.**			

© Indicates that the deliverable is subject to copyright laws. % Percentage of Programmatic Value

STATE OF CALIFORNIA **ATTACHMENT 6**

DRUG-FREE WORKPLACE CERTIFICATION

STD.21 (NEW 11-90)

COMPANY/ORGANIZATION NAME

The contractor or grant recipient named above hereby certifies compliance with Government Code Section 8355 in matters relating to providing a drug-free workplace. The above named contractor or grant recipient will:

1. Publish a statement notifying employees that unlawful manufacture, distribution, dispensation, possession, or use of a controlled substance is prohibited and specifying actions to be taken against employees for violations, as required by Government Code Section 8355(a).

2. Establish a Drug-Free Awareness Program as required by Government Code Section 8355(b), to inform employees about all of the following:

   (a) The dangers of drug abuse in the workplace,

   (b) The person's or organization's policy of maintaining a drug-free workplace,

   (c) Any available counseling, rehabilitation and employee assistance programs, and

   (d) Penalties that may be imposed upon employees for drug abuse violations.

3. Provide as required by Government Code Section 8355(c), that every employee who works on the proposed contract or grant:

   (a) Will receive a copy of the company's drug-free policy statement, and

   (b) Will agree to abide by the terms of the company's statement as a condition of employment on the contract or grant.

CERTIFICATION

I, the official named below, hereby swear that I am duly authorized legally to bind the contractor or grant recipient to the above described certification. I am fully aware that this certification, executed on the date and in the county below, is made under penalty of peR.J.ury under the laws of the State of California.

OFFICIAL'S NAME	
DATE EXECUTED	EXECUTED IN THE COUNTY OF
CONTRACTOR OR GRANT RECIPIENT SIGNATURE	
TITLE	
FEDERAL I.D. NUMBER	

91 6065.3

ATTACHMENT 7

AGENCY DOCUMENTATION REQUIREMENTS

The California Department of Health Services may audit contracts at any time. The documentation required for each audit may typically include, but is not limited to the following:

Fiscal Records

A. General Ledger, Journals, and Charts of Accounts
B. Cash Receipts and Disbursements Journal with Supporting Documents
C. Vendor Invoices to Support Expenditures
D. Program Remittance Advices from State Controller
E. Payroll Records, including, but not limited to personnel time sheets signed/dated by the employee and supervisor reflecting actual time worked on program.
F. Travel Log, Employee Expense Claims and appropriate receipts
G. Billing Records (Program Log)
H. State and Federal Tax Withholding Records
I. Financial Statements and Independent Auditor's of County Auditor's Report
J. Computation of the Fringe Benefit of Fund Sources
K. Agency wide Budget and Listing of Fund Sources
L. Copies of Monthly Invoices to the State
M. Copies of Reimbursement Warrants and Remittance Advices from the State
N. Administrative Manuals such as Personnel Policies and Procedures, Travel Policies and Procedures

Program Records

A. Project Application (submitted in response to this RFA)
B. Contract and Contract Amendments
C. TCS Competitive Grantee Administrative and Policy Manual
D. Progress Reports and the Final Report
E. Program Audit Reports of Site Visits
F. Scope of Work, Parts I and II
G. Correspondence Regarding the Contract and/or Subcontracts
H. Program implementation records that document the number of people served, materials developed, activities conducted, etc. These records may include, but are not limited to logs, sign-in sheets, meeting minutes, survey and evaluation data, etc.

Other Records

A. Board of Director's Minutes and Articles of Incorporation
B. Non-Profit Approval Letter/Certification
C. Organization Chart (Agencywide) and Duty Statements
D. Program Correspondence Files
E. Other Program Audits of the Facility

AGENCY DOCUMENTATION REQUIREMENTS

I certify that the above will be available upon request by the CDHS, CDHS/TCS Program/Contract Manager and/or Auditors.

Director of Agency:		Agency Financial Management Official:	
Signature	Date	Signature	Date
Print Name and Title		Print Name and Title	

ATTACHMENT 8

CERTIFICATION OF NON-ACCEPTANCE OF TOBACCO FUNDS

Company/Organization Name

Please check one of the following:

- ☐ The applicant named above hereby certifies that it currently does not receive funding from nor has an affiliation or contractual relationship with a tobacco company, any of its subsidiaries or parent company. In addition, the applicant named above hereby certifies that it will not accept future funding nor have an affiliation or contractual relationship with a tobacco company, any of its subsidiaries or parent company during the term of this grant from the California Department of Health Services, Tobacco Control Section.

- ☐ University/Colleges Only
  The Principal Investigator of the university or college named above hereby certifies that he/she has not received funding from nor had an affiliation or contractual relationship with a tobacco company, any of its subsidiaries or parent company in the last five (5) years prior to the date of application submission under RFA # TCS-00-102. In addition, the Principal Investigator of the university or college named above hereby certifies that he/she will not accept future funding nor have an affiliation or contractual relationship with a tobacco company, any of its subsidiaries or parent company during the term of this grant from the California Department of Health Services, Tobacco Control Section.

CERTIFICATION

I, the official named below, hereby swear that I am duly authorized legally to bind the contractor or grant recipient to the above described certification. I am fully aware that this certification, executed on the date below, is made under penalty of peR.J.ury under the laws of the State of California.

Director of Agency or Principal Investigator:

Signature Date Print Name and Title

ATTACHMENT 9

NOTE: A facsimile may be used in lieu of this form (e.g., computer printouts providing the same information are acceptable).

CURRENT AND ANTICIPATED INCOMING FUNDS

LIST ALL INCOMING FUNDS FOR SERVICES THAT YOUR AGENCY RECEIVES EITHER DIRECTLY OR THROUGH A CONTRACT/GRANT FROM **JULY 1, 1998 – DECEMBER 31, 2002 [must demonstrate $250,000 minimum in incoming funds in Fiscal Year 1998-99 (July 1, 1998 – June 30, 1999)]**

Specify Contract, Grant, or Allocation and Project Title	Funding Agency Name (Use Full Name)	Amount of Support	Funding Period

(Revised 03/20/00)

XI. APPENDICES TABLE OF CONTENTS

State of California

Bill Jones

Secretary of State

P.O. Box 944230
Sacramento, CA 94244-2300
(916) 657-3537

STATEMENT BY DOMESTIC NONPROFIT CORPORATION

THIS STATEMENT MUST BE FILED WITH THE
CALIFORNIA SECRETARY OF STATE (SECTION 6210, 8210, 9660 CORPORATIONS CODE)

A $10 FILING FEE MUST ACCOMPANY THIS STATEMENT

1.

DO NOT ALTER PREPRINTED NAME: IF ITEM 1 IS BLANK, PLEASE ENTER CORPORATE NAME AND NUMBER

DO NOT MARK IN THIS SPACE

PLEASE READ INSTRUCTIONS ON BACK OF FORM.
PLEASE TYPE OR USE BLACK INK WHICH WILL BE SUITABLE FOR MICROFILMING.

THE CALIFORNIA CORPORATION NAMED HEREIN, MAKES THE FOLLOWING STATEMENT

2. STREET ADDRESS OF PRINCIPAL OFFICE (IF NONE, COMPLETE 3-3B) (DO NOT USE P.O. BOX NO.)	SUITE OR ROOM	2A. CITY AND STATE	2B ZIP CODE
3. MAILING ADDRESS	SUITE OR ROOM	3A. CITY AND STATE	3B ZIP CODE

THE NAMES OF THE FOLLOWING OFFICERS ARE:

4. CHIEF EXECUTIVE OFFICER	4A. STREET ADDRESS (SEE REVERSE SIDE)	4B. CITY AND STATE	4C. ZIP CODE
5. SECRETARY	5A. STREET ADDRESS (SEE REVERSE SIDE)	5B. CITY AND STATE	5C. ZIP CODE
6. CHIEF FINANCIAL OFFICER	6A. STREET ADDRESS (SEE REVERSE SIDE)	6B. CITY AND STATE	6C. ZIP CODE

DESIGNATED AGENT FOR SERVICE OF PROCESS:

(ONE AGENT IS REQUIRED BY CALIFORNIA STATUTORY PROVISION. PLEASE READ ITEMS 7 AND 8 ON REVERSE SIDE OF FORM.)

7. NAME

8. CALIFORNIA STREET ADDRESS IF AGENT IS AN INDIVIDUAL (DO NOT USE P.O. BOX) DO NOT INCLUDE ADDRESS IF AGENT IS A CORPORATION

COMMON INTEREST DEVELOPMENT ASSOCIATION

SECTION 1350, ET SEQ., CIVIL CODE

9. ☐ THIS CORPORATION **IS NOT** AN ASSOCIATION FORMED TO MANAGE A COMMON INTEREST DEVELOPMENT (IF THIS BOX IS CHECKED, PROCEED TO NUMBER 11.)

10. ☐ THIS CORPORATION **IS** AN ASSOCIATION FORMED TO MANAGE A COMMON INTEREST DEVELOPMENT UNDER THE DAVIS STIRLING COMMON INTEREST DEVELOPMENT ACT. (IF THIS BOX IS CHECKED, COMPLETE 10A AND 10B)

10A. BUSINESS OFFICE STREET ADDRESS OR PHYSICAL LOCATION OF DEVELOPMENT, INCLUDING ZIP CODE

10B. NAME AND ADDRESS OF THE MANAGING AGENT

11. I DECLARE THAT I HAVE EXAMINED THIS STATEMENT AND TO THE BEST OF MY KNOWLEDGE AND BELIEF, IT IS TRUE, CORRECT AND COMPLETE.

DATE	TITLE	TYPE OR PRINT NAME OF SIGNING OFFICER OR AGENT	SIGNATURE

SECRETARY OF STATE
P.O. BOX 944230, SACRAMENTO CA 94244-2300

INSTRUCTIONS FOR COMPLETING STATEMENT BY DOMESTIC NONPROFIT CORPORATION

FILING PERIOD: All Nonprofit Corporations must file within 90 days after filing articles of incorporation. Thereafter, corporations must file annually by the end of the calendar month of the anniversary date of its incorporation, and when the agent for service of process or his/her address is changed.

FILING FEE: All Nonprofit Corporations must submit a ten dollar ($10.00) filing fee with this statement. (Section 12210(B) Government Code.) Check or money order should be made payable to Secretary of State. PLEASE DO NOT SEND CHASH.

ITEMS 2—2B: The address to be entered is the STREET address of the corporation's principal office. Enter room or suite number and ZIP code. Do not use post office box number.

ITEMS 3—3B: The address to be entered is the MAILING ADDRESS for the corporation.

ITEMS 4—6C: Complete by entering the names and complete business or residence addresses of the corporation's chief executive officer (i.e., president, chairperson or other title), secretary, and chief financial officer (i.e., treasurer, chairperson or other title). No list of additional officers should be submitted. Do not use post office numbers.

ITEM 7: Sections 6210 and 8210 of the Corporations Code make it mandatory that domestic Nonprofit Corporations designate an agent for service of process. An agent for service of process is one who may accept papers in case of a lawsuit against the corporation. The agent may be an individual who is an officer or director of the corporation, or any other person. The person named as agent must be a resident of California. Only one individual may be named as agent for service of process. Or, the agent may be another corporation. However, a corporation named as agent for service of process for another corporation must have on file in this office, a certificate pursuant to Section 1505, Corporations Code. The certificate is required ONLY if a corporation is named as agent for service of process for other corporations. A CORPORATION CANNOT BE NAMED AS AGENT FOR SERVICE OF PROCESS FOR ITSELF. (For example, ABC Corporation cannot name ABC Corporation as its agent for service of process.)

ITEM 8: If the agent is a person, enter name and complete business or residence address. If agent is another corporation, enter name of corporation only, and do not complete address portion. Only one agent for service of process is to be named.

ITEMS 9—10B: Section 1350, et seq., Civil Code mandates that a corporation formed on behalf of common interest development associations furnish specific additional information when filing a statement pursuant to Section 1502, California Corporations Code. If the corporation was not formed to manage a common interest development the box in Item 9 is to be marked and Items 10 - 10B are to remain blank. If the corporation was formed to manage a common interest development then the box in Item 10 is to be marked. Item 10A is to be completed with the address of the business or corporate office unless the office is off-site, then Item 10 is to be completed with the nine-digit ZIP code, front street, and nearest cross street for the physical location of the common interest development. Item 10B is to be completed with the name and address of the association's managing agent (Section 1363.1, Civil Code), if any.

ITEM 11: Printed name and signature of corporate officer or agent are required to complete the form. Enter title and date signed.

(NOTE) ITEM 1: Do not alter the preprinted corporate name. If corporation name is not correct, please attach note of explanation. If space is blank enter exact corporate name and number, do not include your DBA name.

FAILURE TO FILE THIS FORM BY THE DUE DATE IN ITEM 1 WILL RESULT IN THE ASSESSMENT OF A $50.00 PENALTY. (Sections 6810, 8810, Corporations Code, and Section 25936, Revenue and Taxation Code.)

NOTE: Your canceled check is your receipt of filing. We suggest that you make a copy of this form before mailing, if you wish one for you files.

INTERNAL REVENUE SERVICE
DISTRICT DIRECTOR
P. 0. BOX 2508
CINCINNATI, OH 45201

DEPARTMENT OF THE TREASURY

Date:

Employer Identification Number:
xx-xxxxxxx
DLN:
xxxxxxxxx
Contact Person:
XXXX XXXXX
Contact Telephone Number:
(XXX) XXX-XXXX
Accounting Period Ending:
March 31
Foundation Status Classification:
170 (b) (1) (A) (vi)
Advance Ruling Period Begins:
January 22, 1997
Advance Ruling Period Ends:
March 31, 2001
Addendum Applies:
None

Dear Applicant:

Based on information you supplied, and assuming your operations will be as stated in your application for recognition of exemption, we have determined you are exempt from federal income tax under section 501(a) of the Internal Revenue Code as an organization described in section 501(c)(3).

Because you are a newly created organization, we are not now making a final determination of your foundation status under section 509 (a) of the Code. However, we have determined that you can reasonably expect to be a publicly supported organization described in sections 509 (a) (1) and 170 (b) (1) (A) (vi).

Accordingly, during an advance ruling period you will be treated as a publicly supported organization, and not as a private foundation. This advance ruling period begins and ends on the dates shown above.

Within 90 days after the end of your advance ruling period, you must send us the information needed to determine whether you have met the requirements of the applicable support test during the advance ruling period. If you establish that you have been a publicly supported organization, we will classify you as a section 509 (a) (1) or 509 (a) (2) organization as long as you continue to meet the requirements of the applicable support test. If you do not meet the public support requirements during the advance ruling period, we will classify you as a private foundation for future periods. Also, if we classify you as a private foundation, we will treat you as a private foundation from your beginning date for purposes of section 507(d) and 4940.

Grantors and contributors may rely on our determination that you are not a private foundation until 90 days after the end of your advance ruling period. If you send us the required information within the 90 days, grantors and contributors may continue to rely on the advance determination until we make a final determination of your foundation status.

If we publish a notice in the Internal Revenue Bulletin stating that we will no longer treat you as a publicly supported organization, grantors and contributors may not rely on this determination after the date we publish the notice. In addition, if you lose your status as a publicly supported organization, and a grantor or contributor was responsible for, or was aware of, the act or failure to act, that resulted in your loss of such status, that person may not rely on this determination from the date of the act or failure to act. Also, if a grantor or contributor learned that we had given notice that you would be removed from classification as a publicly supported organization, then that person may not rely on this determination as of the date he or she acquired such knowledge.

If you change your sources of support, your purposes, character, or method of operation, please let us know so we can consider the effect of the change on your exempt status and foundation status. If you amend your organizational document or bylaws, please send us a copy of the amended document or bylaws. Also, let us know all changes in your name or address.

As of January 1, 1984, you are liable for social security taxes under the Federal Insurance Contributions Act on amounts of $100 or more you pay to each of your employees during a calendar year. You are not liable for the tax imposed under the Federal Unemployment Tax Act (FUTA).

Organizations that are not private foundations are not subject to the private foundation excise taxes under Chapter 42 of the Internal Revenue Code. However, you are not automatically exempt from other federal excise taxes. If you have any questions about excise, employment, or other federal taxes, please let us know.

Donors may deduct contributions to you as provided in section 170 of the Internal Revenue Code. Bequests, legacies, devises, transfers, or gifts to you or for your use are deductible for Federal estate and gift tax purposes if they meet the applicable provisions of sections 2055, 2106, and 2522 of the Code.

Donors may dad-act contributions to you only to the extent that their contributions are gifts, with no consideration received. Ticket purchases and similar payments in conjunction with fundraising events may not necessarily qualify as deductible contributions, depending on the circumstances. Revenue Ruling 67-246, published in Cumulative Bulletin 1967-2, on page 104, gives guidelines regarding when taxpayers may deduct payments for admission to, or other participation in, fundraising activities for charity.

Contributions to you are deductible by donors beginning January 22, 1997.

You are not required to file Form 990, Return of Organization Exempt From income Tax, if your gross receipts each year are normally $25,000 or less. If you receive a Form 990 package in the mail, simply attach the label provided, check the box in the heading to indicate that your annual gross receipts are normally $25,000 or less, and sign the return.

If a return is required, it must be filed by the 15th day of the fifth month after the end of your annual accounting period. A penalty of $20 a day is charged when a return is filed late, unless there is reasonable cause for the delay. However, the maximum penalty charged cannot exceed $10,000 or 5 percent of your gross receipts for the year, whichever is less. For organizations with gross receipts exceeding $1,000,000 in any year, the penalty is $100 per day per return, unless there is reasonable cause for the delay. The maximum penalty for an organization with gross receipts exceeding $1,000,000 shall not exceed $50,000. This penalty may also be charged if a return is not complete. So, please be sure your return is complete before you file it.

You are not required to file federal income tax returns unless you are subject to the tax an unrelated business income under section 511 of the Code. f you are subject to this tax, you must file an income tax return on Form 990-T, Exempt Organization Business Income Tax Return. In this letter we are not determining whether any of your present or proposed activities are unrelated trade or business as defined in section 513 of the Code.

You are required to make your annual return available for public inspection for three years after the return is due. You are also required to make available a copy of your exemption application, any supporting documents, and this exemption letter. Failure to make these documents available for public inspection may subject you to a penalty of $20 per day for each day there is a failure to comply (up to a maximum of $10,000 in the case of an annual return).

You need an employer identification number even if you have no employees. If an employer identification number was not entered an your application, we will assign a number to you and advise you of it. Please use that number on all returns you file and in all correspondence with the Internal Revenue Service.

If we said in the heading of this letter that an addendum applies, the addendum enclosed is an integral part of this letter.

Because this letter could help us resolve any questions about your exempt status and foundation status, you should keep it in your permanent records.

If you have any questions, please contact the person whose name and telephone number are shown in the heading of this letter.

Sincerely yours,

District Director

APPENDIX C

PARTIAL LIST OF TOBACCO COMPANY SUBSIDIARIES

This list is not a comprehensive resource and should not be relied upon to be complete or correct since changes in corporate and product ownership commonly occur.

Parent Company: Philip Morris Incorporated, Philip Morris International Inc., Kraft Foods, Inc., and Miller Brewing Company

KRAFT Foods, Selected Brands

Coffee:	Maxwell House, Sanka, Yuban, General Foods, International Coffees, Maxim, Starbucks
Soft Drinks:	Country Time, Crystal Light, Kool-Aid, Tang, Capri Sun
POST Cereals:	Alpha-Bits, Banana Nut Crunch, Blueberry Morning, Cranberry Almond Crunch, Frosted Shredded Wheat, Fruit & Fiber, Golden Crisp, Grape-Nuts, Grape-Nuts O's, Great Grains, Honey Bunches of Oats, Honeycomb, Honey Nut Shredded Wheat, Natural Bran Flakes, Oreo O's, Pebbles, Raisin Bran, Shredded Wheat, Shredded Wheat 'n Bran, Spoon Size Shredded Wheat, Toasties, Waffle Crisp, 100% Bran
Condiments & Sauces:	Kraft mayonnaise, Kraft barbecue and grilling sauces, Miracle Whip, Bull's-Eye barbecue and grilling sauces, Kraft Sauceworks cocktail, horseradish, sweet 'n sour and tartar sauces
Confectioneries:	Altoids mints, Callard & Bowser toffees, La Vosgienne, Toblerone and Tobler chocolates
Dry Desserts:	D-Zerta, Jell-O, Minute brand tapioca
Dry Grocery:	Baker's chocolate and coconut, Calumet baking powder, Oven Fry coatings, Shake 'N Bake, Sure-Jell and Certo pectins
Ethnic Foods:	Taco Bell dinner kits, salsa and meal components
Meals/Side Dishes:	Kraft macaroni & cheese, Minute rice, Stove Top stuffing mix, Stove Top Oven Classics, Velveeta shells & cheese
Salad Dressing:	Good Seasons mixes, Kraft, Seven Seas
Snacks:	Handi-Snacks, Kraft
Toppings:	Dream Whip whipped topping mix, Kraft dessert toppings, Cool Whip

Cheese:

Parmesean/Romano:

Kraft, Kraft Free, Di Giorno

Natural: Kraft, Cracker Barrel, Harvest Moon

Processed American Cheese:

Kraft Deluxe, Kraft Singles, Kraft Super Slice, Kraft Cheez Whiz, Light n' Lively, Old English, Velveeta

Cream Cheese: Philadelphia, Philly Flavors, Temp-Tee

Other Cheeses: Athenos, Churny, Di Giorno, Hoffman's, Polly-O

Dairy Products: Breakstone's sour cream, cottage cheese and dips, Breyers yogurt, Jell-O yogurt, Knudsen sour cream and cottage cheese, Light n' Lively low-fat cottage cheese, yogurt, Sealtest cottage cheese and sour cream

Fresh Pasta and Sauces:

Di Giorno

Processed Meats:

Oscar Mayer hot dogs, cold cuts and bacon, Oscar Mayer Lunchables, Louis Rich turkey products (hot dogs, cold cuts and bacon), Louis Rich Carving Board sliced meats

Pickles and Sauerkraut:

Claussen

Pizza: Di Giorno, Jack's, Tombstone

KRAFT FOODS INTERNATIONAL SELECTED BRANDS

Cheese: Dairylea, Eden, El Caserío, Invernizzi, Kraft, P'tit Québec, Philadelphia, Sottilette

Coffee: Blendy, Carte Noire, Gevalia, Grand' Mére, Jacobs Krönung, Jacobs Monarch, Jacques Vabre, Kaffee HAG, Kenco, Maxim, Maxwell House, Saimaza, Splendid

Confectioneries:

Aladdin, Côte d'Or, Daim, Figaro, Freia, Hollywood, Korona, Lacta, Marabou, Milka, Poiana, Prince Polo, Suchard, Sugus, Terry's, Toblerone Powdered Soft Drinks: Clight, Frisco, Q-Refresko, Tang

Other: Bird's custard, Estrella snacks, Kraft ketchup, Kraft peanut butter, Magic Moments pudding, Miracle Whip/Dream Whip spread, Mirácoli pasta, Simmenthal canned meats, Vegemite spread

MILLER TRADEMARK BRANDS

Miller Lite, Miller Lite Ice, Miller Genuine Draft, Miller Genuine Draft Lite, Miller High Life, Miller High Life Light, Miller High Life Ice, Miller Beer, Sharp's non-alcohol brew, Milwaukee's Best, Milwaukee's Best Light, Milwaukee's Best Ice, Meister Bräu, Meister Bräu Light, Magnum Malt Liquor, Henry Weinhard's Private Reserve, Henry Weinhard's Dark, Henry Weinhard's Porter, Henry Weinhard's Amber Ale, Henry Weinhard's Pale Ale, Henry Weinhard's Hazelnut Stout, Henry Weinhard's Blackberry Wheat, Henry Weinhard's Hefeweizen, Henry Weinhard's Red Lager, Hamm's, Hamm's Draft, Hamm's Light, Olde English 800 Malt Liquor, Olde English 800 Ice, Mickey's Malt Liquor, Mickey's Ice, Red Dog, ICEHOUSE, Southpaw Light, ICEHOUSE Light, Leinenkugel's Original Premium, Leinenkugel's Light, Leinenkugel's Northwoods Lager, Leinenkugel's Genuine Bock (seasonal), Leinenkugel's Red Lager, Leinenkugel's Winter Lager (seasonal), Leinenkugel's Autumn Gold (seasonal), Leinenkugel's Honey Weiss, Leinenkugel's Berry Weiss (seasonal), Leinenkugel's Auburn Ale, Leinenkugel's Big Butt Doppelbock (seasonal), Leinenkugel's Maple Brown Lager, Leinenkugel's Creamy Draft (draft only), Leinenkugel's Hefeweizen (draft only), Celis White, Celis Grand Cru, Celis Pale Ale, Celis Golden, Celis Raspberry, Celis Dubbel Ale, Pale Rider Ale, Shipyard Export Ale, Goat Island Light Ale, Fuggles Pale Ale, Old Thumper Extra Special Ale, Blue Fin Stout, Longfellow Winter Ale (seasonal), Longfellow India Pale Ale (seasonal), Mystic Seaport Pale Ale, Chamberlain Pale Ale, Sirius Summer Wheat Ale (seasonal), Prelude Ale (seasonal), Molson Golden, Molson Export Ale, Molson Canadian, Molson Canadian Light, Molson Light, Molson Ice, Molson Exel non-alcohol brew, Molson Red Jack Ale, Foster's Lager, Foster's Special Bitter, Sheaf Stout, Presidente (from Cerveceria Nacional Dominicana, Santa Domingo, Dominican Republic), Shanghai (from Shanghai Foster's Brewery Co. Ltd., Shanghai,People's Republic of China)

Parent Company: US Tobacco

Wines: Chateau Ste. Michelle, Columbia Crest, Domaine Ste. Michelle, Villa Mt. Eden, Conn Creek, Colour Volant

Beer: Bert Grant's Ale

APPENDIX D

DIRECTIONS TO THE TOBACCO CONTROL SECTION (TCS)

TCS is located at 601 North 7th Street in the Continental Plaza building. There is visitor parking located at the 2nd Continental Plaza entrance. There is a charge for parking ($6 for all day or 50 cents an hour), but there is also some <u>minimal</u> free parking available along the street. The entrance to the building is on the south side of the building, which faces Richards Boulevard. Check in with the security guard at the front entrance, and they will call our staff to come and meet you.

From the Sacramento International Airport to TCS:

Take I-5 South and take the Richards Boulevard exit **(If you pass J Street, you have gone too far)**. At the exit light, turn left under the freeway. Follow Richards Boulevard to North 7th Street. Turn left on North 7th Street. Continental Plaza is the 3rd building on the right.

From Fresno to TCS:

Take I-5 North toward Sacramento. You will see exits for Highway 50 and Business 80. REMAIN IN THE LEFT LANES AND CONTINUE NORTH! You will pass the Q and J Street exits. Take the next exit, Richards Boulevard. **(IF YOU CROSS THE AMERICAN RIVER AND THE GARDEN HIGHWAY EXIT, YOU HAVE GONE TOO FAR!)**. Turn right at the off-ramp light and continue to North 7th Street. Turn left on North 7th Street. Continental Plaza is the 3rd building on the right.

From South Lake Tahoe to TCS:

Take Highway 50 toward Downtown Sacramento. You will pass exits for Business 80/Reno and Highway 99. REMAIN IN THE LEFT LANES UNTIL YOU PASS THESE EXITS! Continue on Highway 50 until you see signs for I-5 North (Redding). You will pass exits for 16th and 10th Streets. You will need to get in the far RIGHT lanes TO TAKE THE I-5 North exit. After taking the I-5 North exit, you will quickly need to merge to the left. You will pass the Q and J Street exits. Take the next exit, Richards Boulevard. **(IF YOU CROSS THE AMERICAN RIVER AND THE GARDEN HIGHWAY EXIT, YOU HAVE GONE TOO FAR!)** Turn right at the off-ramp light and continue to North 7th Street. Turn left on North 7th Street. Continental Plaza is the 3rd building on the right.

APPENDIX D

From the Bay Area to TCS:

There are two ways to get to TCS. It depends on which freeway you take.

1. Heading East on Business 80/Highway 50 toward Sacramento/South Lake Tahoe: Cross the Sacramento River, and take the I-5 North (Redding) exit. You will pass the Q and J Street exits. Take the Richards Boulevard exit. **(IF YOU CROSS THE AMERICAN RIVER AND THE GARDEN HIGHWAY EXIT, YOU HAVE GONE TOO FAR!).** Turn right at the off-ramp light and continue to North 7th Street. Turn left at North 7th Street. Continental Plaza is the 3rd building on the right.

   OR

1. Heading East on Business 80 toward Sacramento/South Lake Tahoe: **(after Davis and before West Sacramento)** - - take Interstate 80/Reno. Interstate 80 will cross the Sacramento River and will swing around to intersect with I-5. Take the I-5 (South) exit toward downtown Sacramento. You will pass the Garden Highway exit and cross over the American River. Take the Richards Boulevard Exit. **IF YOU PASS THE J STREE AND Q STREET EXITS, YOU HAVE GONE TOO FAR!** Turn left at the off-ramp light and continue on to North 7th Street. Turn left at North 7th Street. Continental Plaza is the 3rd building on the right.

APPENDIX E

Exhibit C
Tobacco Control Section
Scope of Work/Workplan, Part I
Instructions Overview

Grant Number: | **Grant Term:**

Agency Name: | **Revision Date:**

Project Name: | **Report Period:**

Objectives/Activities/Evaluation	Start/ End Date	Who Is Responsible	Tracking Measures	For Progress Report Use Only		
				Document Number/ Letter	**Actual Date(s) Completed**	**TCS Use Only: Document Rec'd & Okay**
Priority Area:						
In outline format, state an objective and following each objective, describe the intervention to be implemented to achieve the objective. Immediately following the description of the intervention, describe the evaluation measures you will be tracking. <u>Process evaluation activities are listed in column #4.</u> **1. Objectives:** The objectives should be measurable and clearly identify the expected result or outcome. It should state how much change will occur, for what target group, when the objective will be met and what location. A good objective is measurable, quantifiable, and time limited. • Example: By 12/31/02, a minimum of 6 museums in California will adopt a policy prohibiting tobacco industry sponsorship, advertising, or support of events or exhibits at their sites. *A. Intervention: Describe the planning, collaboration, educational, policy, media and training activities used to achieve the objective. List these in outline format and in chronological order. The description should describe your target group, what will be done, and how much will be done. This should include the steps, methods and strategies to educate and mobilize the community. The intervention may include: meetings, presentations, trainings, letter writing campaigns, press conferences, materials development, etc.*	*Describe the period that major activities will be impleme nted.* Provide the start and end dates (by month and year) for com-pletion of the activity. **Do not give the entire contract period as the start and end date for each activity.**	*Identify who is responsible for conducting or participating in the major activities. This may include staff or community volunteers, etc.* Please list the position title. **If using acronyms, please indicate what the acronym stands for.**	Describe the tracking measures which document that the process oriented activities were completed. Examples of tracking measures include: sign-in sheets, press releases, survey instruments, etc. Some tracking measures, such as meeting notes, individual registration forms completed, and others may be kept "on file in the office." Place a plus sign (+) beside the tracking measure you would like to keep on file in your office. <u>These items must be on file in the event of an audit.</u>			

Continued On Next Page

Exhibit C
Tobacco Control Section
Scope of Work/Workplan, Part I
Instructions Overview

Grant Number: | **Grant Term:**

Agency Name: | **Revision Date:**

Project Name: | **Report Period:**

Objectives/Activities/Evaluation	Start/ End Date	Who Is Responsible	Tracking Measures	For Progress Report Use Only: Document Number/ Letter	Actual Date(s) Completed	TCS Use Only: Document Rec'd & Okay
Priority Area:						
Example:	Example:	Example: Project Director				
- Solicit LLAs, Regions, and/or other Prop. 99 funded programs in areas where museums that have accepted tobacco sponsorship in the past are located to determine their interest in working on this activity.	1/01 – 3/01					
- Work with the Technical Assistance Legal Center to develop a model policy to use as an example when working with Museum boards.	1/01- 3/01					
- Select museums to target for policy adoption activities.	3/01 – 4/01					
- If necessary, work on community mobilization activities to get support for policy from local youth or community groups.	4/01 – 6/01					
- Meet with the Museum boards to conduct initial 30 minute educational presentation on why a tobacco policy is important.	6/01 – 6/02					
- Continue to discuss policy adoption with members of the museum board if necessary.	6/02 – 12/02					
Evaluation Activities: Describe the evaluation tracking measures that will be collected.						
Example:						
- Follow-up phone interviews will be conducted with one museum official from each site approximately 2 months following policy adoption to determine: • Why the policy was adopted, • Community acceptability of the policy, feedback they received from : their board, staff, media, and public attendees, • Any challenges encountered in the process and how these challenges were overcome.	8/01 – 12/02					
- A case study report will be prepared to share with the media and other potential policy adopters.	8/01- 12/02					

TIPS ON WRITING OUTCOME OBJECTIVES

Writing objectives may require a substantial amount of time and thought before the objectives are narrowed down to capture precisely what you want to accomplish. Keep in mind that, if someone outside your agency reads your Scope of Work, they should be able to understand what you propose to achieve. The objective should be concise yet capture: 1) who you are targeting; 2) what you are changing; 3) how you are making the change and by how much; and 4) when and where you are making the change. Examples of objectives are listed below. Please note that these sample objectives are simply "examples."

a. Examples of outcome objectives:

- By December 31, 2002, Children's museums in a minimum of three cities will adopt a policy prohibiting tobacco industry sponsorship or support of events or exhibits at their sites.

b. Examples of process objectives:

- By December 31, 2002, develop, construct, maintain, and promote a touring museum exhibit featuring visual arts depictions of tobacco imagery in American society that will be placed at arts museums in three California cities (specify cities) for 3 months each, in conjunction with a series of lectures on the history of tobacco and its images in art.

- By December 31, 2002, conduct a minimum of 50 street theater type performances in local (define area) establishments that break the smoke-free bar law in order to draw attention to the problem and to educate the public.

COPYRIGHT AND OWNERSHIP OF MATERIALS

The following is the required copyright and ownership of materials language that will be used in the Tobacco Control Section (TCS) grants funded under RFA # TCS-00-102.

The State does not claim ownership, copyrights, royalties, or other claims to artwork produced as a result of this grant. However, CDHS/TCS reserves the royalty-free, non-exclusive and irrevocable right to reproduce, to prepare derivative works, to distribute copies, to perform, to display or otherwise use, duplicate, or dispose of such product, data or material in any manner for governmental purposes and to have or permit others to do so in perpetuity.

					6 Months	12 Months	6 Months	Total
					BUDGET SAMPLE		**APPENDIX H**	
Name of Grantee: ABC Museum								
Grant Number 00-XXXXX							**Revision Date: 06/28/00**	
Term: 01/01/01 - 12/31/02								
	Pay Period	**Number of Pay Periods/Year**	**Salary Range**	**% of Time or Hrs per PP**	**6 Months 01/01/01-06/30/01**	**12 Months 07/01/01-06/30/02**	**6 Months 07/01/02-12/31/02**	**Total Budget**
A. PERSONNEL COSTS					$0	$0	$0	$0
1. Museum Director	**S**	**24**	**$2,110-$2,637**	**50%**	$0	$0	$0	$0
2. Museum Curator	**S**	**24**	**$1,717-$2,070**	**100%**	$0	$0	$0	$0
3. Marketing Specialist	**S**	**24**	**$2,068-$2,514**	**15-25%**	$0	$0	$0	$0
4. Clerical Assistant	**H**	**20**	**$10-$20 per hr.**	**30-40 hr/pp**	$0	$0	$0	$0
				Total Personnel Costs:	**$0**	**$0**	**$0**	**$0**
B. FRINGE BENEFITS @ X%-XX% of Total Personnel Costs					**$0**	**$0**	**$0**	**$0**
				TOTAL PERSONNEL EXPENSES:	$0	$0	$0	$0
C. OPERATING EXPENSES					**$0**	**$0**	**$0**	**$0**
D. EQUIPMENT EXPENSES					**$0**	**$0**	**$0**	**$0**
E. TRAVEL/PER DIEM and TRAINING					**$0**	**$0**	**$0**	**$0**
F. SUBCONTRACTS and CONSULTANTS								
1. ABC Company					$0	$0	$0	$0
2. John Doe & Associates					$0	$0	$0	$0
3. Media Consultant					$0	$0	$0	$0
				TOTAL SUBCONTRACTS and CONSULTANTS:	**$0**	**$0**	**$0**	**$0**
G. OTHER COSTS:								
1. Educational Materials					$0	$0	$0	$0
2. Promotional Items and Incentives					$0	$0	$0	$0
3. Media, Public Relations, and Advertising					$0	$0	$0	$0
4. Additional Expenses					$0	$0	$0	$0
				TOTAL OTHER COSTS:	**$0**	**$0**	**$0**	**$0**
H. TOTAL DIRECT EXPENSES					**$0**	**$0**	**$0**	**$0**
I. INDIRECT EXPENSES @ X% - XX% of Total Personnel Expenses					**$0**	**$0**	**$0**	**$0**
TOTAL EXPENSES					**$0**	**$0**	**$0**	**$0**

BUDGET JUSTIFICATION FORMAT SAMPLE

ABC MUSEUM
BUDGET JUSTIFICATION
JANUARY 1, 2001 – DECEMBER 31, 2002

	AMOUNT REQUESTED			
	FY 00/01	FY 01/02	FY 02/03	Grant Term
A. PERSONNEL SALARIES				
1. Museum Director				
($2,110-$2,637 paid semi-monthly) x (50%) x (24 pay periods/per year x 2 years)	$ 12,660	$ 25,953	$ 13,293	$ 51,906
Director for tobacco control program. Responsibilities include overall planning, supervision, development, training, report writing, fiscal and general coordination of the project. Monitors the Project Budget, maintains liaison with CDHS/TCS Health Education Consultant/Health Program Advisor and Contract Manager. Approves Budget, invoices, staff changes, ensures timely progress on contract obligations, and other duties as required. Devotes 10 percent of his/her time to oversee the implementation of the evaluation and work with the designated evaluation consultant.				
2. Museum Curator				
($1,717- $2,070 paid semi-monthly) x (100%) x (24 pay periods/per year x 1.5 years)	$ 0	$ 43,272	$ 22,716	$ 65,988
Under supervision of the Museum Director, responsible for coordinating the museum's tobacco control exhibit regarding media activities, project promotional events, and other duties as required. Works with a hired media consultant to develop appropriate media in several mediums (newspaper, billboards, and radio) to promote the exhibit, and to develop a brochure to distribute at the museum. Also will develop appropriate promotional items for sale at the exhibit. Devotes 10 percent of his/her time to implement surveys for the evaluation activities.				

COMPARABLE STATE CIVIL SERVICE CLASSIFICATIONS

State Classification Title	Comparable Monthly Salary
Program Manager, CA Museum of Afro-American History and Culture	$4,545-$5,484
Health Education Consultant Specialist III	$4,219-$5,274
Marketing Specialist	$4,136-$5,027
Exhibit Designer/Coordinator	$3,962-$4,777
State Park Interpreter II	$3,431-$4,171
Museum Curator II	$3,434-$4,139
Exhibit Electronics Supervisor	$3,201-$3,856
Senior Graphic Artist	$3,199-$3,854
Graphic Artist	$2,791-$3,356
Exhibit Worker	$2,735-$2,997
Audio-Visual Technician	$2,399-$2,915
Museum Technician	$2,122-$2,579
Museum Assistant II	$1,473-$1,790

Travel Reimbursement Information
Effective November 2, 1999

1. The following rate policy is to be applied for reimbursing the travel expenses of persons under contract.

   a. Reimbursement shall be at the rates established for similar state employees.

   b. Short Term Travel is defined as more than 24-hours, but less than 31 consecutive days, and is at least 50 miles from the main office, headquarters or primary residence. Starting time is whenever contract leaves his or her home or headquarters. "Headquarters" is defined as the place where contracted personnel spend the largest portion of their working time and return to upon the completion of special assignments.

   c. Contractors on travel status for more than one 24-hour period and less than 31 consecutive days may claim a fractional part of a period of more than 24 hours. Consult the chart appearing on page 2 of this bulletin to determine the reimbursement allowance. All lodging must be receipted. If contractor does not present receipts, lodging will not be reimbursed.

      (1) Lodging:

         (a) Statewide Rate (with receipts): Actual cost up to $84 plus tax.

         (b) Effective November 2, 1999 through June 30, 2000, when required to do business and obtain lodging in the counties of Alameda, San Francisco, San Mateo and Santa Clara, and Central and Western Los Angeles reimbursement will be for actual receipted lodging to a maximum of $110 plus applicable taxes. Central and Western Los Angeles is the territory bordered by Sunset Boulevard on the north, the Pacific Ocean on the west, Imperial Blvd/Freeway 105 on the south and Freeways 110, 10, and 101 on the east. This area includes downtown L.A., Inglewood, L.A. International Airport, Playa del Rey, Venice, Santa Monica, Brentwood, West L.A., Westwood Village, Culver City, Beverly Hills, Century City, West Hollywood and Hollywood.

         Reimbursement for actual lodging expenses exceeding the above amounts may be allowed with the advance written approval of the Deputy Director of the Department of Health Service or his or her designee. Receipts are required.

      (2) Meal/Supplemental Expenses (with or without receipts): With receipts, the contractor will be reimbursed actual amounts spent up to the maximum.

Breakfast	$6.00	Dinner	$18.00
Lunch	$10.00	Incidentals	$6.00

   d. Out-of-state travel may only be reimbursed if such travel has been stipulated in the contract and has been approved in advance by the program with which the contract is held. For out-or-state travel, contractors may be reimbursed actual lodging expenses, supported by a receipt, and may be reimbursed for meals and supplemental expenses for each 24-hour period computed at the rates listed in c. (2) above. For all out-of-state travel, contractors must have prior Departmental approval and a budgeted trip authority.

   e. In computing allowances for continuous periods of travel of less than 24 hours, consult the chart appearing on page 2 of this bulletin.

   f. No meal or lodging expenses will be reimbursed for any period of travel that occurs within normal working hours, unless expenses are incurred at least 50 miles from headquarters.

2. If any of the reimbursement rates stated herein are changed by the Department of Personnel Administration, no formal contract amendment will be required to incorporate the new rates. However, DHS shall inform the contractor, in writing, of the revised travel reimbursement rates.

3. For transportation expenses, the contractor must retain receipts for parking; taxi, airline, bus, or rail tickets; car rental; or any other travel receipts pertaining to each trip for attachment to an invoice as substantiation for reimbursement. Reimbursement may be requested for commercial carrier fares; private car mileage; parking fees; bridge tolls; taxi, bus, or streetcar fares; and auto rental fees when substantiated by a receipt.

4. **Note on use of autos:** If a contractor uses his or her car for transportation, the rate of pay will be 31 cents maximum per mile. If the contractor is a person with a disability who must operate a motor vehicle on official state business and who can operate only specially equipped or modified vehicles may claim a rate of 31 cents per mile without certification and up to 37 cents per mile with certification. If a contractor uses his or her car "in lieu of" air fair, the air coach fair will be the maximum paid by the State. The contractor must provide a cost comparison upon request by the state. Gasoline and routine automobile repair expenses are not reimbursable.

5. The contractor is required to furnish details surrounding each period of travel. Travel detail may include, but not be limited to: purpose of travel, departure and return times, destination points, miles driven, mode of transportation, etc.

6. Contractors are to consult with the program with which the contract is held to obtain specific invoicing procedures.

TRAVEL REIMBURSEMENT GUIDE

IF LENGTH OF TRAVEL IS	IF THIS CONDITION EXISTS	CONTRACTOR MAY CLAIM
Less than 24 hours	Travel begins at or before 6:00 a.m. and ends at or after 9:00 a.m. *Example: A contractor may claim breakfast if, during a period of travel, he or she begins their travel at 5:30 a.m. and ends their travel at 9:30 a.m.*	Breakfast
Less than 24 hours	Travel begins at or before 4:00 p.m. and ends at or after 7:00 p.m. *Example: A contractor may claim dinner if, during a period of travel, he or she begins their travel at 3:30 p.m. and ends their travel at 7:30 p.m.*	Dinner
Less than 24 hours	Lunch or incidentals may ***not*** be claimed on a trip of less than 24 hours	
24 Hours	A contractor is on travel status for a full 24 hour period (determined begin and end times).	Breakfast, lunch, and dinner
Last fractional part of more than 24 hours	Return at or after 8:00 a.m. *Example: If a contractor returns the last day of a trip of more than 24 hours at or after 8:00 a.m., a breakfast allowance may be claimed.*	Breakfast
Last fractional part of more than 24 hours.	Return at or after 2:00 p.m. *Example: If a contractor returns the last day of a trip of more than 24 hours at or after 2:00 p.m., a lunch allowance may be claimed.*	Lunch
Last fractional part of more than 24 hours.	Return at or after 7:00 p.m. *Example: If a contractor returns the last day of a trip of more than 24 hours at or after 7:00 p.m., a dinner allowance may be claimed.*	Dinner